

Supervisor's Desk Reference



Adapted for the U.S. Fish and Wildlife Service
by the Center for Organizational Excellence

OVERVIEW

As an FWS supervisor you have many different responsibilities. In addition to being a supervisor, you carry out the mission of your organization as one of its leaders. One of the key tasks of your job is administering personnel and other administrative practices and actions.

You may have had some training on certain personnel and administrative practices and procedures. Or, you may be a new supervisor and have never received any supervisory training on the rules and regulations that affect you and the employees you supervise. This desk reference guide provides you with an overview of personnel and administrative practices and procedures that you must know in order to effectively do your job.

The guide is not meant to make you a personnel expert or provide the answers to all of your personnel-related or administrative questions. It is meant to give you basic information on topics that you will commonly encounter in your supervisory role and provide you with references and contacts for more information.

If you are unsure of a practice or procedure, this guide can serve as your first source of information. If you need more help, try the references associated with the topic. If you are still in need of help, use the personnel contacts provided. Since policies and procedures change, you may wish to check with your Administrative Officer/Servicing Personnel Office or your own supervisor if you are unsure of the latest version of information.

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We want to provide you with a practical, useful, and informative desk reference guide. Your feedback is helpful and will help improve future versions. Please complete the following questions and return this form to the National Conservation Training Center, Supervision, Management, and Leadership Training Branch, Rt. 1, Box 166, MS10, Shepherdstown, WV 25443 or fax it to (304) 876-7225.

How useful is the format (size, layout, organization, etc.) of this guide?

How useful is the range of topics provided?

How useful is the depth of information provided?

Please provide any comments or suggestions for further information or topics that should be included in this guide:

Name:

Organization:

Years of experience with FWS:

What level supervisor are you:

Credits

Division of Contracting and General Services

Division of Economics

Division of Engineering

Division of Finance

Division of Information Resources Management

Division of Personnel

Division of Policy and Directives Management

NCTC, Branch of Employee Excellence Training

NCTC, Branch of Supervision, Management, and Leadership Training

Office for Diversity and Civil Rights Programs

Office of Safety, Health, and Aviation

Planning and Evaluation Staff

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Hours of Duty and Leave
Benefits
EEO

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1. CLASSIFICATION, RECRUITMENT, AND STAFFING

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DEVELOPING POSITION DESCRIPTIONS

Purpose

In order to fulfill your organization's mission, you may find the need to create a new position or restructure current positions. The first step in accomplishing this is writing a position description. A position description states the major duties and responsibilities of a position. The grade, series, and title are determined by comparing the duties to OPM classification standards.

Supervisor's Role

It is your responsibility to develop a proposed or draft position description (PD) if one does not exist. You must forward the proposed PD to the personnel team to classify the position. You may need to assist the personnel team by providing additional information about the duties so they can accurately classify the PD.

References

OPM Position Classification Standards; 370 DM 511 and 225 FW 1—Position Classification

CONTACT

For more information on developing position descriptions or classification, contact your Servicing Personnel Office.

You must write a new PD when . . .

- You are creating a new position; or
- The duties, tasks, and responsibilities of a current position have changed to such an extent that the way the job is performed is significantly different from the existing PD.

DEVELOPING POSITION DESCRIPTIONS

A PD may take many forms, depending on the nature of the position and the types of duties. There are several different formats:

- Supervisory or Managerial
- Factor Evaluation System
- Narrative
- Federal Wage System

If you are not sure which type of PD must be written for the position you are creating, contact your Servicing Personnel Office. The most important thing is to write a description of the duties as they are expected to be performed, that is, as they are needed to be accomplished in order to carry out and achieve the objectives, missions, and functions of the organization.

INTERNAL RECRUITMENT

Purpose

All Federal employees may move competitively or non-competitively from one position to another through merit promotion procedures. This process provides a fair and systematic means of identifying, considering, and selecting candidates for promotions and career opportunities based on merit principles.

Supervisor's Role

In conjunction with your Servicing Personnel Office, you must determine the most appropriate method for filling vacancies. In doing so, you must apply merit principles including the principles of equal employment opportunity.

References

5 USC; 5 CFR; DOI Merit Promotion and Placement Policy; FWS Merit Promotion and Placement Operational Guide

CONTACT

For more information on internal recruitment, contact your Servicing Personnel Office.

INTERNAL RECRUITMENT

One of the merit system principles . . . at 5 USC 2301 states that recruitment should be from qualified individuals from appropriate sources to achieve a workforce from all segments of society, and selection and advancement should be determined solely on the basis of relative ability, knowledge and skills, after fair and open competition which assures that all receive equal opportunity.

Career Transition Assistance Plan

On September 12, 1995, the President of the United States issued a memorandum directing the Heads of Executive Departments and Agencies to establish a program to provide career transition assistance to displaced Federal employees.

The DOI Career Transition Assistance Plan (CTAP) and the Governmentwide Interagency Career Transition Assistance Plan (ICTAP) provide special selection priority to career and career-conditional employees who will be or were displaced from a position in the same local commuting area of a vacancy, and who apply for a vacancy at or below the grade level from which they have been or are being separated—provided that the position does not have greater promotion potential than the position from which they have been or are being separated. To receive special selection priority, an eligible employee must apply for a specific

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INTERNAL RECRUITMENT

Career Transition Assistance Plan (continued)

vacancy announcement in the same local commuting area as the position the employee occupies or the position from which displaced, within the prescribed time frames; attach proof of eligibility; and be determined well qualified for the specific vacancy. Additionally, the Reemployment Priority List (RPL) of displaced DOI employees must be cleared prior to filling positions with non-Government or non-Interior employees.

There are exceptions to the use of this Plan. Contact your Servicing Personnel Office for information.

Types of Internal Recruiting

Merit Promotion

Merit promotion is the mechanism whereby current or former Federal employees compete with other current or former Federal employees for promotions, reassignments, details, and other career opportunities.

Details

A detail is the temporary assignment (salary continues to be the same) of an employee to a different position or set of unclassified duties for a specified period of time. Details can be made non-competitively for up to 120 calendar days, and extended in increments of 120 days, for any legitimate purpose (e.g., to handle

continued...

INTERNAL RECRUITMENT

**Details
(continued)**

unexpected workloads or specific projects, to fill in during another employee's absence, etc.) for up to 1 year. For details of more than 120 calendar days to a higher graded position or to a position with greater promotion potential than the employee's permanent position, the position must be announced through merit promotion procedures (see Temporary Promotions below).

**Temporary
Promotions**

Temporary promotions are used to non-permanently fill vacant positions, accomplish project work, fill positions temporarily pending reorganization or downsizing, or meet other temporary needs. Promotions over 120 days must be made under merit promotion procedures. Temporary promotions can be made in any increment up to a maximum period of 5 years. Advance written notice of the conditions of the time-limited promotion must be provided to the employee.

Reassignment

A reassignment is the permanent change of an employee from one position to another without promotion or demotion.

Reinstatement

Reinstatement is the employment of a person formerly employed in the competitive civil service who had competitive status or was serving probation when he/she resigned, retired, or was otherwise separated from that service.

EXTERNAL RECRUITMENT

Purpose

Candidates from outside the Federal Government may be appointed through external recruitment and hiring procedures. There are many external hiring authorities. Generally speaking, applicants must compete for career/career-conditional, term, and temporary positions based on an evaluation of their education and work experience. Written examinations are required for certain occupations. Veterans must be given preference over non-veterans.

Supervisor's Role

In conjunction with your Servicing Personnel Office, you must determine the most appropriate method for filling vacancies. In doing so, you must apply merit principles, including the principles of equal employment opportunity.

References

5 USC; 5 CFR; Merit Promotion and Placement Operational Guide: Appendix A, “Other Recruitment and Staffing Options”; 223 FW 10—Private Sector Temporary Services; 130 FW 1—Student Educational Employment Program; DOI Career Transition Assistance Plan

CONTACT

For more information on external recruiting, contact your Servicing Personnel Office.

EXTERNAL RECRUITMENT

One of the merit system principles . . . at 5 USC 2301 states that recruitment should be from qualified individuals from appropriate sources to achieve a workforce from all segments of society, and selection and advancement should be determined solely on the basis of relative ability, knowledge and skills, after fair and open competition which assures that all receive equal opportunity.

Types of Federal Employment

Competitive Service

Under the competitive service employment system, individuals must compete for their first permanent Federal position. They are initially given career-conditional appointments and serve a 1-year probationary period. They become career employees after completing 3 years of substantially continuous service. Career and career-conditional appointments confer competitive status. Temporary and term positions are also found within the competitive service.

Under a career or career-conditional appointment, employment can be full-time, part-time, intermittent, or seasonal. Full-time employment is regularly scheduled work of 40 hours per week. Part-time employment is regularly scheduled work that is less than 40 hours, usually from 16 to 32 hours, per week. Intermittent employment is employment

continued...

EXTERNAL RECRUITMENT

without a regularly scheduled tour of duty. Career (permanent) seasonal employment means annually-recurring periods of work of more than 6 months and less than 12 months each calendar year.

Excepted Service

There are a variety of hiring authorities which are “excepted” from the rules and regulations of the competitive service employment system. Excepted service authorities can be used, among other things, to hire students, individuals with disabilities, veterans, and experts or consultants, and to satisfy critical hiring needs of 30 days or less.

Types of External Recruiting

Delegated Examining

The U.S. Fish and Wildlife Service has authority to advertise, evaluate, and hire applicants independently from the U.S. Office of Personnel Management (OPM). This is the mechanism used to hire non-status applicants to the competitive service. Some Regions use this authority; others do not.

OPM Reimbursable Services

For Regions who do not use delegated examining, staffing service is performed on a reimbursable basis by OPM using their Micro Assisted Rating System known as MARS.

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EXTERNAL RECRUITMENT

Temporary-Limited Appointments

A temporary-limited appointment is a non-status appointment to a competitive service position for a specified period not to exceed 1 calendar year. The appointment may be extended up to a maximum of 1 additional calendar year (24 months of total service). Temporary seasonal workers may be exempt from the service limit provided they work less than 6 months (1,040 hours) in a year.

Term Employment

A term appointment is a non-status appointment to a competitive service position for a specified period exceeding 1 year and lasting not more than 4 years when the need for an employee's services is not permanent.

Paid Advertisement

Paid advertisements may be used for recruiting purposes to enhance the Government's image as an employer or to support equal opportunity objectives. Advertisements may be placed in any media to convey messages about Federal job opportunities, and are typically used for specific vacancies but could be used to portray future possibilities.

Private Sector Temporaries

Employees of temporary help service firms are available in many fields, such as accounting, technology, secretarial, typing, and office support. One of the following

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EXTERNAL RECRUITMENT

Private Sector Temporaries (continued)

short-term situations must exist: (1) an employee is absent for a temporary period due to personal need (excluding vacations), or (2) someone is needed to perform work of a temporary nature that cannot be delayed in the judgment of the agency because of a critical need.

Agencies may hire a private sector temporary when there are no current agency employees who could be spared to do the work, when the need cannot be met through temporary recruitment, or when there are no former employees available on the Reemployment Priority List (RPL). Additionally, agencies are not permitted to use temporary help services to circumvent controls on employment levels.

Private sector temporaries may be hired up to a maximum of 120 workdays with an extension of a second period up to 120 workdays, up to a maximum of 240 workdays in a 24-month period.

Student Employment

Students may be hired under the Student Educational Employment Program. This program falls in the excepted service and consists of two components: The Student Career Experience Program (SCEP) and the Student Temporary Employment Program (STEP). Certain requirements must be met for participation in either of these two programs.

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EXTERNAL RECRUITMENT

Student Employment (continued)

The SCEP provides experience that is directly related to the student's educational program and career goals. Periods of attendance at an accredited school are combined with periods of career-related work experience in a Federal agency. Once specific requirements have been met, students may be non-competitively converted to a career or career-conditional appointment.

Under the STEP, students are appointed to positions not-to-exceed 1 year; appointments may be extended in 1-year increments. The nature of the duties does not have to be related to the student's academic and career goals, and students are not eligible for non-competitive conversion to the competitive service.

Career Transition Assistance Plan

On September 12, 1995, the President of the United States issued a memorandum directing the Heads of Executive Departments and Agencies to establish a program to provide career transition assistance to displaced Federal employees.

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EXTERNAL RECRUITMENT

Career Transition Assistance Plan (continued)

The DOI Career Transition Assistance Plan (CTAP) and the Governmentwide Interagency Career Transition Assistance Plan (ICTAP) provide special selection priority to career and career-conditional employees who will be or were displaced from a position in the same local commuting area of a vacancy, and who apply for a vacancy at or below the grade level from which they have been or are being separated—provided that the position does not have greater promotion potential than the position from which they have been or are being separated.

To receive special selection priority, an eligible employee must apply for a specific vacancy announcement in the same local commuting area as the position the employee occupies or the position from which displaced, within the prescribed time frames; attach proof of eligibility; and be determined well qualified for the specific vacancy.

Additionally, the Reemployment Priority List (RPL) of displaced DOI employees must be cleared prior to filling positions with non-Government or non-Interior employees.

There are exceptions to the use of this Plan. Contact your Servicing Personnel Office for information.

JOB ANALYSIS/CREDITING PLANS

Purpose

Rating plans are written instruments that, based on a thorough job analysis, are used to rate applications and distinguish highly qualified candidates from minimally qualified candidates. Rating plans identify the knowledge, skills, and abilities (KSAs) required for successful performance in a position and indicate levels of performance for each KSA. These levels are then used as benchmarks in rating applications.

Supervisor's Role

When announcing a vacancy, and with advice from the Servicing Personnel Office, you will analyze positions and develop crediting plans for positions in your organization. Job analysis documentation and the crediting plan must be submitted with the SF-52 and the position description for recruitment actions.

References

DOI Merit Promotion and Placement Policy; FWS Merit Promotion and Placement Policy Operational Guide

CONTACT

For more information on job analysis/crediting plans, contact your Servicing Personnel Office.

JOB ANALYSIS/CREDITING PLANS

When conducting a job analysis . . . and developing crediting plans, your role is to provide subject matter knowledge. The process of conducting job analyses and developing crediting plans is detailed—a general overview is provided below. Following are the three major steps in creating crediting plans and information you must provide to your Servicing Personnel Office:

1. *Identify major duties and responsibilities*

You must provide a list of all of the major duties and responsibilities to be performed by the person who will fill the vacancy. These duties and responsibilities will form the basis of the crediting plan. This list must reflect duties and responsibilities included in the position description.

2. *Identify KSAs*

KSAs must be identified for the major duties and responsibilities stated in the first step. Applicants will be rated against the KSAs that you specify.

3. *Identify benchmarks*

Benchmarks must be defined for each KSA identified in the second step. Typically, three levels are defined: Superior, Good, and Satisfactory. You must define general experience and specific tasks for each level. These benchmarks will ultimately be used to rate applications and distinguish minimally qualified applicants from highly qualified applicants.

JOB ANALYSIS/CREDITING PLANS

Job Analysis/Crediting Plans Definitions

Ability

Ability is the power to perform an activity at the present time. Often broader, more abstract than skills or knowledge.

Benchmark

A written, descriptive statement of experience, education, training, awards, appraisals, etc., which shows how an applicant could have acquired a knowledge, skill or ability (KSA) at a particular level of competency.

Crediting Plan

A crediting plan is a written instrument used to rate applications and distinguish highly qualified candidates from minimally qualified candidates. Based on a thorough job analysis, crediting plans identify the KSAs required for successful performance in a position, and indicate levels of performance for KSAs which are used as benchmarks in rating applications.

Job Analysis

Job analysis is a systematic process which analyzes a position in order to determine the knowledge, skills, and abilities (KSAs) which are necessary to successfully perform the duties of the position.

JOB ANALYSIS/CREDITING PLANS

Knowledge	Knowledge is an organized body of information that a person mentally possesses as a result of formal education, training, or personal experience.
KSA	“KSA” is an abbreviation for knowledge, skills, and abilities.
Selective Factor	A selective factor is a KSA which is so essential to a position that it is made a part of the minimum qualifications for that position. Applicants not possessing this factor are ineligible for further consideration. Selective factors must be job related and their validity documented through job analysis.
Skill	Skill is the performance of a task with ease and proficiency. Implies measurable performance. Often requires the use of equipment, machinery, or tools.
Weights	Weights are numerical values (either a 1, 2, or 3) assigned to each KSA based on the KSA’s relative importance to the position (an applicant’s score on a particular KSA will be multiplied by the weight assigned).

REFERENCE CHECKS

Purpose

A key component in the employee selection process is conducting reference inquiries or “checks.” Reference checks are done to verify applicants’ qualifications, skills, and suitability for the position.

Supervisor's Role

As a supervisor, you should be sure that appropriate reference checks are conducted to verify qualifications, skills, and suitability before you recommend selection of a candidate. Most recommending supervisors prefer to conduct the checks themselves. It is a good idea to use business references and check with at least two previous employers.

CONTACT

For more information on reference checks, contact your Servicing Personnel Office.

REFERENCE CHECKS

When conducting reference checks . . . you should contact the applicant's current and former supervisors that are listed on the resume or application. The most expedient way of conducting a reference check is by phone; this also allows you to follow up on any questions that may arise. The following are some key points to keep in mind when conducting reference checks:

- Be consistent. Ask the same questions to each person you contact.
- Avoid any questions that may appear culturally or racially motivated. Focus only on the requirements of the job and the applicant's performance in previous jobs.
- Avoid any questions about the applicant's personal life. Do not ask about marital status, children, hobbies, financial status, etc.
- Be sure to inform the person that under the Privacy Act, his/her identity will be disclosed to the applicant upon request unless indicated otherwise.

SELECTING AUTHORITY

Purpose

When filling a position, you must be aware of your authority to recommend and select candidates.

Supervisor's Role

If you are the first-level supervisor of the position being filled, your selection must be approved by a second- or higher-level supervisor.

References

205 DM 8—General Delegations—Personnel Management; 033 FW 10—General Administrative Redelegations

CONTACT

For more information on recommending and selecting authority, contact your Servicing Personnel Office.

SELECTING AUTHORITY

When recommending or selecting an applicant . . . to fill a position, you should take a number of factors into consideration. Besides the applicant's experience and skill level, you should also consider his/her:

- Ability to work alone or in a team (as appropriate)
- Willingness to take responsibility
- Communication skills
- Attention to detail
- Organizational skills
- Ability to be self-motivated
- Attitude toward customer service
- Attitude toward quality

PERSONNEL SECURITY/SUITABILITY

Purpose

Federal and Departmental regulations mandate that positions must be designated at a sensitivity or risk level commensurate with the duties and responsibilities of the position. The 441 DM prescribes the method and criteria for determining a position sensitivity or risk level. Positions are designated, not people.

Supervisor's Role

It is your responsibility to ensure that positions under your supervision are properly designated and that the incumbents in those positions are advised of the reasons for the designation level. Position sensitivity and risk level designations should be determined in conjunction with the program manager and your Servicing Personnel Office. It is also your responsibility to ensure that the position designation is updated if the duties of the position change.

References

5 CFR parts 731 and 732; 441 DM; 430 FW—Personnel Security

CONTACT

Your Servicing Personnel Office.

PERSONNEL SECURITY/SUITABILITY

Purpose

To ensure that each selectee/employee is suitable for Federal employment, he/she is subject to a background investigation. The scope and frequency of investigations are determined by the position sensitivity or risk level designation. For some positions the initial investigation must be completed prior to entrance on duty (EOD) and a reinvestigation conducted every five years. Selectees/employees are required to promptly complete the investigation forms and to be fingerprinted.

Supervisor's Role

It is your responsibility to ensure that the employee completes and submits the required investigation forms in a timely manner to the Servicing Personnel Office or security office, as appropriate.

References

E.O. 10450 and 12968; 5 CFR parts 731, 732, and 736; 441 DM; 430 FW—
Personnel Security

CONTACT

Your Servicing Personnel Office or the FWS Security Officer.

PERSONNEL SECURITY/SUITABILITY

Purpose

The results of a background investigation are adjudicated to determine if employment or continued employment of an individual is clearly consistent with the interests of national security and/or the efficiency of the Federal service. The adjudicator is charged with determining if the individual is trustworthy, loyal, reliable, and of sound judgment. An employee must continue to meet these standards during his/her Federal employment.

Supervisor's Role

It is your responsibility to ensure that your employees understand the importance of continuing to meet the adjudicative standards and that they are aware of the duties that determined the position sensitivity or risk level. It is also your responsibility to report any derogatory information to the FWS Security Officer regarding an employee in a sensitive position.

References

E.O. 10450 and 12968; 5 CFR parts 731 and 732; 441 DM; 430 FW—Personnel Security

CONTACT

FWS Security Officer.

PERSONNEL SECURITY/SUITABILITY

Purpose

Positions with national security-related duties and law enforcement authority are designated sensitive (i.e., Special Sensitive, Critical Sensitive, or Non-Critical Sensitive), and the incumbents must be eligible and maintain eligibility for a national security clearance.

Supervisor's Role

It is your responsibility to ensure that the position description reflects that the position requires eligibility for a national security clearance. If the incumbent requires access to national security classified information, contact the FWS Security Officer who will advise you on how to request the security clearance. (The Security Officer is the only official within FWS who is authorized to grant security clearances.)

References

5 CFR part 732; 441 and 446 DM; 430 FW—Personnel Security

CONTACT

FWS Security Officer.

PRE-EMPLOYMENT MEDICAL DETERMINATIONS

Purpose

For most positions involving firefighting and law enforcement duties, applicants or selectees will be required to undergo a medical examination, provide medical information, and/or pass a physical agility or fitness test. Positions such as firefighters, law enforcement officers, and motor vehicle operators, among others, require individuals to submit to urinalysis to screen for illegal drug use prior to and following employment.

Supervisor's Role

You should be aware that an applicant that you select may be disqualified from employment due to a medical condition or failure to pass or refusal to submit to drug testing. If, during the interviewing process, you encounter information about the applicant's physical fitness that would impact employability, you should report it to your Servicing Personnel Office immediately.

References

5 CFR part 339—Medical Qualification Determinations; Qualification Standards Handbook for General Schedule Positions; 370 DM 792—Drug-Free Workplace Policy and Procedures; Department of Transportation Alcohol and Drug Testing Handbook

CONTACT

For more information on pre-employment medical determinations, contact your Servicing Personnel Office.

2. COMPENSATION

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SETTING PAY

Purpose

As a rule, pay is set in accordance with the rules applicable to the pay schedule in which the position is classified (e.g., GS, SES, WG). As a supervisor, you have a variety of pay-setting options available to use when you are recruiting, relocating, or trying to retain an employee in the General Schedule.

Supervisor's Role

It is your responsibility to be aware of the pay-setting options available to you. You should use them to attract and retain highly qualified employees, and you must consider how you can obtain the maximum benefit from expenditure of tax dollars.

References

5 CFR parts 531, 532, 536; 5 USC 53

CONTACT

For more information on setting pay, contact your Servicing Personnel Office.

SETTING PAY

Promotion

General Schedule—Employees promoted from a lower GS grade to a higher GS grade are entitled to basic pay at a rate not less than two step increases (within grades above the employee's existing rate of pay). If the two-step increase exceeds the 10th step of the grade to which the employee is being promoted, pay will be set at the step 10.

Federal Wage System—Pay on promotion is set at a rate that exceeds the employee's existing rate of pay by at least 4% of the representative rate of the grade from which that employee is being promoted. If the increase exceeds the 5th step of the grade to which the employee is being promoted, pay will be set at the step 5.

Reassignment

There is normally no change in base pay when an employee is reassigned from one position to another. However, when a reassignment involves moving to or from a position covered by a special salary rate, an increase/decrease in base pay may result. In addition, if an employee is reassigned from one locality area to another, rules covering locality pay adjustments are used which could also result in either a higher or lower rate.

SETTING PAY

Change to Lower Grade

A change to lower grade (CLG) is an action in which an employee moves from a GS position at one grade to a position at a lower GS grade while continuously employed. CLGs can be voluntary (requested by the employee), involuntary (initiated by the agency), or be caused by failure to complete the supervisory or managerial probationary period.

Within-Grade Increases

Permanent employees occupying a position (not limited to 1 year or less) are eligible for step increases provided the employee's performance is at least "Meets Performance Measures," employee completes the required waiting period, and provided no equivalent increase was received during the waiting period. Waiting periods for within-grade increases for all GS grades are as follows:

- 52 calendar weeks for employees receiving basic pay less than a step 4;
- 104 calendar weeks for employees receiving basic pay equal to or greater than a step 4 and less than a step 7;
- 156 calendar weeks for employees receiving basic pay equal to or greater than a step 7 and less than a step 10.

Employees paid under the Federal Wage System also receive within-grade increases, though the waiting periods are different from the General Schedule. Consult your Servicing Personnel Office.

PAY SCHEDULES

Purpose

Pay schedules establish the rates and rules under which groups of employees are paid. There are a number of common pay schedules, which are listed on the following pages.

Supervisor's Role

As a supervisor, it is your responsibility to become familiar with the pay schedules that cover your employees. You should also be aware that premium pay entitlements may vary based on the pay schedule.

References

5 CFR parts 531 and 532; 5 USC 53

CONTACT

For more information on pay schedules, contact your Servicing Personnel Office.

PAY SCHEDULES

Pay schedules differ . . . among different types of employees. Following is a list of the most common pay schedules; this list is not all-inclusive. If you need more information on types of pay schedules, contact your Servicing Personnel Office.

Pay Schedules

General Schedule	The General Schedule (GS) is the pay schedule that covers the largest portion of Federal employees. It is based on equal pay for equal work, and comparability to salaries paid nationwide by private industry for work at the same level of difficulty and responsibility. Grade levels range from 1 to 15, and each grade has 10 levels of pay called steps.
Federal Wage System	The Federal Wage System (including Wage Grade, Wage Supervisor, and Wage Leader employees) is the pay schedule that covers employees engaged in trade, labor, and other “blue-collar” jobs. The rates are based on the prevailing rates being paid locally by private industry in an area. The WG and WL classes of pay rates each have 15 grades with 5 steps. The WS class has 19 grades with 5 steps.
Administratively Determined	Administratively Determined (AD) is a pay schedule that generally follows the GS, but where individual rates may be determined by management on the basis of need. This pay system is most commonly used to pay experts and consultants.

PAY SCHEDULES

Executive Schedule

The Executive Schedule (EX) is the pay schedule assigned to members of the Cabinet, Deputy Secretaries, Under Secretaries, various officials of the Commissions and Regulatory Boards, and many others in the Administrator and Director classifications. The pay schedule covers Level I through Level V. Total annual compensation during a calendar year may not exceed Level I of the Executive Schedule.

Senior Executive Service (SES) Pay Schedule

This is the pay schedule for members of the Senior Executive Service. It is set by the President, and based on the pay rates of the President and Cabinet members. There are six levels of basic pay ranging from ES-1 through ES-6.

Special Salary Rates

Special Salary Rates are those that have been authorized for occupations where there have been documented recruitment and retention problems. Currently there are over 450 Special Rate authorities, and they have the same grades and steps as the General Schedule. Clerical positions account for almost half of the Special Salary Rates, though a number of engineers, physicians, and other medical personnel are also included.

PAY SCHEDULES

Locality Pay

Locality payments have been authorized since 1994 to address the gap between Federal and non-Federal salaries. These payments are authorized by law only for General Schedule (GS) employees whose official duty stations are located in the 48 contiguous states and Washington, DC. Currently there are 30 locality pay areas.

PAY OPTIONS

Purpose

As a rule, pay is set in accordance with the rules applicable to the pay schedule in which the position is classified. As a manager, you have a variety of pay-setting options available to use when you are recruiting, relocating, or trying to retain an employee.

Supervisor's Role

It is your responsibility to be aware of the pay-setting options available to you. You should use them to attract and retain highly qualified employees, and you must consider how you can obtain the maximum benefit from expenditure of tax dollars.

References

225 FW 9—Recruitment and Retention Incentive Pay; 5 CFR parts 531 and 575; 5 USC; 38 USC

CONTACT

For more information on pay options, contact your Servicing Personnel Office.

PAY OPTIONS

Above the Minimum

The general rule for setting pay for new employees is to hire at step 1 of the grade of the position. However, a new employee with exceptional qualifications may be placed in a step higher than step 1 of the grade. Contact your Servicing Personnel Office for more information.

Recruitment and Relocation Bonuses and Retention Allowances (3Rs)

Recruitment and Relocation Bonuses and Retention Allowances are special authorities authorized by the Federal Employees Pay Comparability Act of 1990 (FEPCA). These bonuses and allowances require advanced written approval; contact your Servicing Personnel Office for more information.

A **Recruitment Bonus** is a cash bonus of up to 25% of the employee's base pay, and is used as an incentive for a candidate to accept a Federal job. Recruitment bonuses are for situations in which an agency would otherwise have difficulty filling a position with a high-quality candidate.

A **Relocation Bonus** is a cash bonus of up to 25% of the employee's base pay, and is used to encourage a current Federal employee to accept a position which requires relocation to a new commuting area. This bonus may be paid only when the agency

continued...

PAY OPTIONS

**Recruitment and
Relocation
Bonuses and
Retention
Allowances
(3Rs)
(continued)**

has determined that in the absence of the payment, it would be difficult or impossible to fill the position with a high-quality candidate.

A **Retention Allowance** is a payment of up to 25% of the employee's base pay, and is used to retain the services of a current employee who possesses unusually exceptional qualifications, or is essential to the Agency due to a critical need. The agency must determine that, without the allowance, the employee would be likely to leave for employment outside the Federal Government. A retention allowance is payable in the same manner as base pay (biweekly).

**Highest Previous
Rate**

An employee may have his/her pay set at a rate equivalent to the highest rate earned in prior Federal employment. There are certain exceptions to this, so you should consult with your Servicing Personnel Office.

PREMIUM PAY

Purpose	Premium pay is money paid to an employee for work performed outside of the normal work schedule. Premium pay may be authorized for overtime, night, holiday, or Sunday work, and for standby duty or availability pay.
Supervisor's Role	It is your responsibility to ensure that overtime work is properly ordered and approved, and performed only when necessary. Generally, regular and irregular or occasional overtime must be authorized in writing in advance of the time it is worked on FWS Form 3-136.
References	225 FW 7—Premium Pay and 10—Availability Pay; 5 CFR part 550, subpart A; 5 USC 55, subchapter V
CONTACT	For more information on premium pay, contact your Servicing Personnel Office.

PREMIUM PAY

Types of Premium Pay

Overtime Work

Overtime work is generally work which is officially ordered, approved, and performed by an employee in excess of eight hours in a day or 40 hours in a workweek. Except for certain employees for whom the first 40 hours is the basic workweek and those working an alternative work schedule, employees are entitled to overtime compensation whenever they work more than eight hours in a day. The rate of overtime pay is 1 1/2 times the regular hourly rate, but it may not exceed 1 1/2 times the regular hourly rate of a GS-10 step 1.

Bi-Weekly Earnings Limit

The statutory limit on the amount of money an exempt employee may be paid in any single pay period is the biweekly pay of a GS-15 step 10. The biweekly maximum earnings limitation does not apply to any pay period during which overtime work was performed in connection with an emergency or to a law enforcement officer. A law enforcement officer may be paid premium pay only to the extent that the payment does not cause the total of his/her basic pay and premium pay to exceed the lesser of:

- (1) 150 percent of the minimum rate for GS-15, including a locality-based comparability payment, an interim geographic adjustment or special pay adjustment for law enforcement officers, and any special salary rate, rounded to the nearest whole cent; or
- (2) the rate payable for level V of the Executive Schedule.

In rare instances when an emergency poses a direct threat to human life or property, the Secretary of the Interior or OPM may grant an exception to this limit.

PREMIUM PAY

Compensatory Time Off

Compensatory time off (or comp time) is allowing an employee who has worked overtime to take time off from work on a subsequent day in lieu of overtime pay. Comp time is earned at a rate of 1 hour of time off per hour of overtime worked, and is subject to the same bi-weekly earnings limit as overtime pay. Requests for comp time are made on FWS Form 3-136. Comp time granted should be taken within the same pay period or the pay period following that in which overtime was worked. An employee has six months from the date the time was earned to use accumulated comp time. A nonexempt employee who does not use requested comp time within the 6-month time limit must be paid for the overtime work. An exempt employee who fails to use the comp time within this time limit loses the right to the comp time off or to overtime pay unless the failure is due to a work-related exigency beyond his/her control. Members of the Senior Executive Service (SES) are not entitled to earn or use comp time.

Religious Comp Time

Religious comp time is time taken off for religious observances without charge to leave. Employees may use this type of comp time before or after it is earned. An employee whose religious beliefs require him/her to abstain from work during certain periods of time must be permitted to work alternative work hours to meet the religious obligation. Members of the SES may use religious comp time. The hours worked in lieu of the normal work schedule do not entitle the employee to overtime pay.

PREMIUM PAY

Holiday Pay	Holiday pay is for work performed on designated Federal holidays which fall within the designated workweek. Full-time employees who are required to work on a holiday receive 8 hours of regular pay plus their regular hourly rate for all non-overtime hours worked.
Sunday Premium Pay	Sunday differential pay is issued to a full-time employee whose regular work week includes a Sunday. It is paid at a rate of an additional 25% of the basic pay.
Night Pay	Night differential pay is issued at 10% of the base hourly rate. It is payable for regularly scheduled hours of work only, including overtime, that is performed between 6:00 PM and 6:00 AM.

continued...

PREMIUM PAY

Availability Pay

Payment of availability pay equals 25% of a special agent's rate of basic pay. Availability pay is a form of premium pay that is paid on an annual basis to a special agent to ensure his/her availability for unscheduled duty during hours in excess of 40 in a workweek to contend with the needs of the Service's law enforcement work. Supervisors must ensure that each special agent has sufficient hours of unscheduled duty to enable the special agent to meet the average hours requirement and make the necessary certification or recommend certification to the designated approving official.

Fair Labor Standards Act (FLSA)

The Fair Labor Standards Act (FLSA) is a separate premium pay authority which covers employees generally at or below the GS-7 level (called non-exempt employees). These employees must be paid for all work in excess of 8 hours in a day or 40 hours per week. The only exception to this rule is for employees who work an alternative work schedule. It is your responsibility to ensure that non-exempt employees do not perform any overtime work which is not ordered and approved by you.

3. WORKERS' COMPENSATION

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FEDERAL EMPLOYEES' COMPENSATION ACT

Purpose

The Federal Employees' Compensation Act (FECA) provides monetary compensation to employees for wage loss and medical expenses due to occupational diseases or on-the-job traumatic injuries that result from employment with the Federal Government. The Office of Workers' Compensation Programs (OWCP), Department of Labor, is the organization that processes and adjudicates Workers' Compensation claims.

Supervisor's Role

You are responsible for completing the supervisor's portion of the CA-1 or CA-2 claim form in a timely manner, reviewing the employee's statements for accuracy, and providing a complete response to the claim. You are also responsible for maintaining contact with your injured employee and locating light/limited duty, when work restrictions are required, to facilitate your employee's return to duty.

References

Publication CA-810, Injury Compensation for Federal Employees; 20 CFR part 10, subchapter B; Federal Employees' Compensation Act

CONTACT

For more information on Workers' Compensation, contact your Regional or Washington Office OWCP Coordinator.

TRAUMATIC INJURY

Purpose

All instances of traumatic injury must be documented. A traumatic injury is defined as a wound or other condition of the body caused by external force, including stress or strain. The injury must be identifiable as to the time and place it occurred and the function of the body it affects. It must be caused by a specific event or incident or series of events or incidents within a single day or work shift. Examples are cuts, sprains, or broken bones suffered as a result of a fall in the office.

Supervisor's Role

Report traumatic injuries using the Safety Management Information System (SMIS). Form CA-1, "Federal Employees Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation," must be used to report all work-related traumatic injuries, and can be generated by SMIS. The Intranet address for SMIS is <http://ssi.fws.gov/r9osh>. Contact your OWCP Coordinator if you need assistance. The supervisor's portion of Form CA-1 must be completed and the form submitted to OWCP within 10 days following receipt of Form CA-1 from the employee. If you have reason to question the circumstances surrounding the injury, contact your OWCP Coordinator for assistance.

References

Publication CA-810, Injury Compensation for Federal Employees; Pamphlet CA-550, Questions and Answers About the Federal Employees' Compensation Act; DOI Directive from the Departmental Designated Safety and Health Official, dated June 10, 1997; 240 FW 10 (to be issued approx. 1-1-99)

TRAUMATIC INJURY

CONTACT

For more information on Workers' Compensation, contact your Regional or Washington Office OWCP Coordinator.

If an employee's disability extends beyond 45 days . . . the employee is entitled to file for compensation for wage loss. After approximately the 30th day of Continuation of Pay (COP), you should provide the employee with a Form CA-7, "Claim for Compensation on Account of Traumatic Injury or Occupational Disease," which is available from your OWCP Coordinator. The employee should submit the Form CA-7, along with associated medical documentation that substantiates the time away from work, in accordance with procedures established by the OWCP Coordinator.

Inform the employee that the Form CA-7 should be submitted no later than the 40th day of COP to avoid an interruption in pay. Employees with no dependents are paid compensation at the rate of 66 2/3% of their regular pay, and employees with dependents are paid compensation at the rate of 75% of their regular pay. Compensation payments are tax free.

CONTINUATION OF PAY

Purpose

When an employee experiences a traumatic injury on the job, he/she could be entitled to Continuation of Pay (COP) which continues regular salary for up to 45 calendar days (including weekends and holidays). COP is provided to eliminate any interruption of an employee's income as the result of a traumatic injury. **Employees claiming an occupational disease are not eligible for COP.**

Supervisor's Role

Ensure that the employee submits proper medical documentation to support approval of each day of COP used. Monitor your employee's use of COP and ensure that COP is properly coded on the timesheet. Contact your OWCP Coordinator if it appears that the disability will continue beyond 45 days.

References

Publication CA-810, Injury Compensation for Federal Employees; Pamphlet CA-550, Questions and Answers About the Federal Employees' Compensation Act; DOI FPPS T+A Paycode Manual

CONTACT

For more information on Workers' Compensation, contact your Regional or Washington Office OWCP Coordinator.

CONTINUATION OF PAY

In order to be eligible for COP . . . the employee must file a Form CA-1 within 30 days of the injury. When an employee uses COP, you should:

- Charge administrative leave on the day of the injury if the injury occurred during the official work day and there was immediate time loss.
- Charge COP on the day following the date of the injury (when there is immediate time loss).
- COP may be used for up to 45 days. Monitor the use of COP and inform the OWCP Coordinator after the employee has used approximately 30 days of COP and it appears the employee's disability will extend beyond 45 days. If after 45 days the employee is unable to resume work, he/she may use annual or sick leave, or file a claim for compensation. For more information see *Traumatic Injury* on the preceding pages or contact your OWCP Coordinator.
- Count COP in full-day increments even when the absence from work (due to the injury) is for a portion of the work day. Timekeeping records should reflect actual hours worked and actual hours of COP used.

continued...

CONTINUATION OF PAY

- Ensure that adequate medical documentation is provided to justify each day that the employee is absent from work, regardless of whether the employee has elected to use annual leave, sick leave, or COP.
- Ensure that timekeeping records are corrected if the employee uses COP and the Workers' Compensation Claim is denied by OWCP. With adequate medical documentation, the employee may use appropriate leave in lieu of COP.

OCCUPATIONAL DISEASE

Purpose

All instances of occupational disease must be documented. An occupational disease is defined as a condition produced in the work environment over a period longer than 1 workday or shift. It can result from systemic infection, repeated stress or strain, exposure to toxins, fumes, or other continuing conditions in the work environment. Examples are carpal tunnel syndrome or asbestosis caused by the duties or work environment.

Supervisor's Role

Report occupational diseases using the Safety Management Information System (SMIS). Form CA-2, "Federal Employees Notice of Occupational Disease and Claim for Compensation," must be used to report all work-related instances of occupational disease, and can be generated by SMIS. The Intranet address for SMIS is <http://ssi.fws.gov/r9osh>. Contact your OWCP Coordinator if you need assistance. The supervisor's portion of Form CA-2 must be completed and the form submitted to OWCP within 10 days following receipt of Form CA-2 from the employee. If you have reason to question the circumstances surrounding the claim, contact your OWCP Coordinator for assistance.

OCCUPATIONAL DISEASE

References

Publication CA-810, Injury Compensation for Federal Employees; Pamphlet CA-550, Questions and Answers About the Federal Employees' Compensation Act; DOI Directive from the Departmental Designated Safety and Health Official, dated June 10, 1997; 240 FW 10 (to be issued approx. 1-1-99)

CONTACT

For more information on Workers' Compensation, contact your Regional or Washington Office OWCP Coordinator.

An employee claiming an occupational disease . . . is not entitled to COP. The employee is entitled to compensation benefits and can file for compensation for wage loss.

You should provide the employee with a Form CA-7, "Claim for Compensation on Account of Traumatic Injury or Occupational Disease," which is available from your OWCP Coordinator. The employee should submit the Form CA-7, along with associated medical documentation that substantiates the time away from work, in accordance with procedures established by the OWCP Coordinator. You should inform the employee to submit the Form CA-7 as soon as possible to avoid an interruption in pay. Employees with no dependents are paid compensation at the rate of 66 2/3% of their regular pay and employees with dependents are paid compensation at the rate of 75% of their regular pay. Compensation payments are tax free.

MEDICAL DOCUMENTATION

Purpose

When an employee seeks compensation for a traumatic injury or occupational disease, medical documentation must be provided to substantiate the claim. Employees may see the doctor of their choice, but the documentation provided must be “prima facia” or absolute, without any doubt. The medical documentation must show that an injury or illness is directly related to employment.

Supervisor's Role

It is your responsibility to advise employees that they must provide medical documentation to support their claim of traumatic injury or occupational disease. Advise employees that medical documentation must be received within 10 days of an injury to support the granting of COP. COP should not be granted without proper medical documentation..

References

Publication CA-810, Injury Compensation for Federal Employees; Pamphlet CA-550, Questions and Answers About the Federal Employees' Compensation Act

CONTACT

For more information on Workers' Compensation, contact your Regional or Washington Office OWCP Coordinator.

TEMPORARY LIGHT DUTY WORK ASSIGNMENT

Purpose

The objective of a temporary light duty work assignment is to facilitate the employee's rapid return to duty by offering available and meaningful work which accommodates any medical limitations imposed during his/her recovery period. By arranging a temporary light duty work assignment, supervisors can minimize the amount of lost work hours due to job-related injuries and illness while aiding the employee's recovery process.

Supervisor's Role

It is your responsibility to actively attempt to find meaningful temporary light duty work for injured or ill employees and assure that injured or ill employees and their medical providers are made aware of available temporary light duty work assignments in your work area. Refer to 240 FW 10 (to be issued approximately 1-1-99) for detailed instructions.

References

240 FW 10 (to be issued approximately 1-1-99); Publication CA-810, Injury Compensation

CONTACT

For more information on Workers' Compensation, contact your Regional or Washington Office OWCP Coordinator.

4. HOURS OF DUTY AND LEAVE

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TYPES OF WORK SCHEDULES

Purpose

In general, employees work either full-time or part-time, and different work schedules may be used. These include the traditional fixed schedule, a flexible work schedule, and a compressed work schedule.

Supervisor's Role

Within FWS requirements, you have several options available when determining the type of schedule your employees can work. In addition, you are responsible for scheduling your employees to provide adequate staff coverage.

References

226 FW 1—Hours of Duty; OPM Handbook on Alternative Work Schedules (available on the OPM Web page)

CONTACT

For more information on types of work schedules in your organization, contact your Servicing Personnel Office.

TYPES OF WORK SCHEDULES

Types of Work Schedules

Full-Time	Full-time employees must account for 80 hours in a two-week period. The 80 hours may be comprised of actual hours worked and leave taken.
Part-Time	Part-time employees work fewer than 40 hours for fewer than 5 work days or fewer than 80 hours in fewer than 10 workdays.
Traditional Schedule	A traditional schedule is a fixed work schedule consisting of five 8 1/2-hour days (usually Monday through Friday) with the same start and stop times every day.
Alternative Work Schedule (AWS)	Alternative Work Schedules (AWS) fall into two basic categories: flexible work schedules and compressed work schedules. A flexible schedule allows the employee to establish his/her own schedule within the limits set by the supervisor. Under certain conditions employees on flexible schedules may elect to work hours in excess of their basic work requirement in order to vary the length of a work day or work week. These excess hours are known as “credit hours.” Limitations apply to the number of credit hours that can be earned and maintained by an employee. A compressed schedule allows the employee to fulfill his/her basic work requirements in less than 10 days during the pay period. All FWS alternative work schedules have a core time of

continued...

TYPES OF WORK SCHEDULES

(AWS)
(continued)

9:00 AM to 3:00 PM. During this core time employees must be present for work or absent on approved leave. Both are described on the following pages.

Flexible work schedules . . . generally require an 8-hour nonovertime workday that is composed of core time and flexible time. The flexible time (starting and quitting times) may be selected or varied by the employee within limits established by regulation and his/her supervisor. All flexible schedules must begin no earlier than 6:00 AM and end no later than 6:00 PM. Examples of this schedule include:

Flexitour	The employee selects specific starting and quitting times and adheres to those times.
Gliding Schedule	The full-time employee with a basic work requirement of 8 hours in each day and 40 hours in each week may select an arrival time each day and may change that arrival time daily as long as it is within the established flexible hours.
Maxiflex Schedule	This schedule contains core hours on fewer than 10 workdays in the pay period and in which a full-time employee has a basic work requirement of 80 hours for the pay period, but in which an employee may vary the number of hours worked on a given workday or the number of hours each week within the limits established for the office.

TYPES OF WORK SCHEDULES

Compressed schedules are . . . another type of alternative work schedule. Employees on a compressed schedule perform 80 hours of work in less than 10 days (during a biweekly pay period). Following are some guidelines for employees on a compressed schedule:

- Compressed work schedules are fixed schedules. Employees on compressed schedules generally cannot vary their start or end times.
- An employee working 10 hours a day, four days per week, who takes one day of leave will be charged 10 hours. Similarly, holiday pay for the same employee would be 10 hours.

TYPES OF WORK SCHEDULES

The two types of compressed schedules in FWS are . . . the 5-4/9 Schedule and the 4-10 Schedule. When working a 5-4/9 schedule, the employee works 5 days in one week and 4 days in the other week of a pay period. The employee must:

- Fulfill a basic 80-hour biweekly work requirement. Over a 10-day period, an employee works eight 9 1/2-hour days, one 8 1/2-hour day, and has one day off.
- Understand that both the 8 1/2-hour workday and the day off are fixed.

An employee working a 4-10 schedule works 4 days each week, for 10 1/2 hours each day. The employee must:

- Fulfill a basic 40-hour workweek, and an 80-hour biweekly requirement.
- Work a fixed schedule of 10 1/2 hours per day. The day off each week is also fixed.

FAMILY-FRIENDLY PROGRAMS

Purpose

The Service offers several Family-Friendly Programs, including: Flexible Workplace Agreements, Flexible and Compressed Work Schedules, and the Voluntary Leave Transfer Program. See *Types of Work Schedules* in this section for more information on work schedules.

Supervisor's Role

In some situations, employees may request approval for one of the Family-Friendly programs. It is your responsibility to review and make a decision on the use of these programs, while complying with the policies set by the Service.

References

226 FW 1—Hours of Duty; 226 FW 2—Leave and Absence; and 226 FW 4—Flexible Workplace

CONTACT

For more information on Family-Friendly Programs, contact your Servicing Personnel Office.

FAMILY-FRIENDLY PROGRAMS

Quality of Work Life Programs

Flexible Workplace Arrangements

Flexible workplace arrangements allow Service employees to work from their home or satellite offices (often called telecommuting in the private sector). It is used for short- and long-term purposes to include meeting the needs of special projects, medical conditions (e.g., illness, injury), etc. You and the employee sign a work agreement, which specifies the Flexiplace work schedule (i.e., days and hours of work at home, and days and hours of work in the official duty station). This is strictly a voluntary program and can be terminated by either you or the employee at any time.

TYPES OF LEAVE

Purpose

Many types of leave are available to employees. Different types of leave are used for different purposes, and you must understand the similarities and differences in the types of leave so that you can properly approve leave requests and timesheets.

Supervisor's Role

Supervisors are responsible for complying with Service policy and procedures relating to the approval, use, and restoration of forfeited annual leave and for ensuring that the administration of leave within their organizations is legal, justifiable, and equitable. Supervisors have a joint responsibility to ensure that annual leave is used before the end of the leave year to avoid forfeiture.

References

226 FW 2—Absence and Leave and 7—Leave Sharing Program

CONTACT

For more information on types of leave, contact your Servicing Personnel Office.

TYPES OF LEAVE

Annual Leave	Annual leave is earned by employees based on length of service with the Government, and is usually requested in advance. It accumulates and is carried from year to year up to 240 hours. Part-time employees earn a pro-rated amount of leave.
Advancing Annual Leave	Advanced annual leave may be granted up to the amount of annual leave that the employee will accrue during the current leave year.
Sick Leave	<p>Sick leave may be used under the following circumstances:</p> <ul style="list-style-type: none">• to receive medical, dental, or optical examination or treatment;• when the employee is incapacitated by physical or mental illness, injury, pregnancy, or childbirth;• when the employee would, because of exposure to a communicable disease, jeopardize the health of others by his/her presence on the job; or• when the employee must be absent from work for adoption-related activities.

continued...

TYPES OF LEAVE

Sick Leave (continued)

A limited amount of sick leave may also be used to:

- provide care for a family member as the result of physical or mental illness, injury, pregnancy, childbirth, or medical, dental, or optical examination or treatment; or
- make arrangements necessitated by the death of a family member or attend the funeral of a family member.

Family and Medical Leave

Covered employees who have been employed for a period of at least 12 months in the Federal service are entitled to 12 administrative workweeks of unpaid leave during any 12-month period for: (1) the birth and care of a newborn child; (2) the placement of a child with the employee for adoption or foster care; (3) the care of a spouse, son, daughter, or parent of the employee with a serious health condition; or (4) a serious health condition of the employee that makes the employee unable to perform the essential functions of his/her position. Employees may substitute annual leave or sick leave for the unpaid leave under certain conditions.

TYPES OF LEAVE

Leave for Bone-Marrow or Organ Donation	Federal employees are entitled to 7 days of paid leave each calendar year (in addition to annual and sick leave) to serve as a bone-marrow or organ donor.
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Leave Sharing	Leave transfer programs allow employees to donate annual leave to other Federal employees who have medical emergencies and who have exhausted their own leave. Supervisors are responsible for being knowledgeable of the concepts of this program and recommending approval or disapproval of leave recipient applications. See your Servicing Personnel Office for leave recipient and donor forms.
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Absent Without Leave (AWOL)	AWOL is not a form of leave, as such. It is any absence from duty not authorized by the proper leave-approving official and may be the basis for disciplinary action. You must fully document all instances of AWOL.
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Court Leave	Court leave is an excused absence for jury duty or for testifying in a non-official capacity as a witness in certain circumstances in a State or Federal court.
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Military Leave	Military leave is an authorized absence to perform active military duty, active duty for training, or law enforcement. Military leave is not authorized for inactive duty training (usually weekend drills).
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continued...

TYPES OF LEAVE

**Leave
Without Pay**

Leave without pay (LWOP) is an approved absence from duty without pay. LWOP can impact an employee's waiting period for within-grade increases, in addition to health benefits, life insurance, and accrual of annual and sick leave.

**Excused
Absence**

An excused absence is absence from duty without loss of pay or charge to leave. Excused absence is often referred to as "administrative leave."

Funeral Leave

Funeral leave, not to exceed 3 workdays, may be granted to an employee whose immediate relative dies as a result of wounds, disease, or injury incurred as a member of the Armed Forces in a combat zone. Law enforcement officers and firefighters may be excused from duty to attend the funeral of a fellow Federal law enforcement officer or firefighter who was killed in the line of duty. The employee will be considered to be in official duty status while attending such services and will not be charged leave for this period.

Home Leave

An employee who is serving abroad for at least 24 continuous months is entitled to earn home leave. Home leave may be used for employees to return home (for personal reasons) during their current tour of duty, or between tours if they will be moving to another international duty station.

APPROVING TIMESHEETS

Purpose

Before a timesheet can be processed by payroll, it must be approved by a certifier. Timesheets that are incorrectly approved may cause an employee's pay and/or leave to be processed incorrectly; errors in pay and/or leave always cause employees problems and should be avoided.

Supervisor's Role

As a certifier, you, NOT the timekeeper, are responsible for the accuracy of the information recorded on each employee's timesheet. The timekeeper records the information that you have indicated as being correct by your signature on the completed timesheet. See the box on the following pages for information on what to look for when approving a timesheet.

References

FWS Timekeeper's Guide

CONTACT

For general information on your timesheet approval responsibilities, contact your Payroll Liaison Office. For specific details on your responsibilities, contact your Servicing Personnel Office.

APPROVING TIMESHEETS

When approving a timesheet . . . you must verify that all pay and leave hours recorded on each timesheet are correct and comply with all rules, regulations, and policies. You can be held accountable for any incorrect payments or leave charges. Following are some tips to keep in mind when approving timesheets:

- A typical tour of duty is 80 hours. Unless the employee has begun work or separated from FWS within the pay period, tours of duty are 80 hours for full-time employees. Contact your Servicing Personnel Office for information on tours of duty for other than full-time employees.
- If there is overtime designated on the timesheet, supporting documentation must be on file.
- Leave or credit hours that were not reported in time to be entered electronically for a pay period should be adjusted on an amended timesheet and sent to your payroll office.
- If there were any paid holidays during the pay period, they must be designated as such.
- Any changes to a timesheet can be made by the timekeeper, a supervisor, or the certifier.

RESOLVING TIMESHEET PROBLEMS

Purpose

Because pay and leave problems can have a direct effect on an employee's performance, errors in pay and leave must be corrected as quickly as possible. The Payroll Liaison Office was established to provide guidance on the procedures for completing forms to request adjustments or corrections.

Supervisor's Role

As a supervisor, you will need to review the corrections to ensure that the adjustments comply with OPM, GAO, DOI, FWS, and other regulations. You must be familiar with the required forms in order to provide guidance to the timekeeper on proper procedures to request corrections or adjustments.

References

FWS Timekeeper's Guide; Federal Personnel Manual

CONTACT

For procedures and general information regarding payroll rules, regulations, and procedures, contact your Payroll Liaison Office. For detailed information on pay and/or leave regulations, contact your Servicing Personnel Office.

RESOLVING TIMESHEET PROBLEMS

To resolve errors in pay or leave . . . the timekeeper must determine the cause and take the necessary steps to request a correction or update of the data and request any adjustment in pay, benefits, or leave.

Some errors must first be corrected by Personnel before the timekeeper completes an error notice (i.e., an error in the health code, grade/step, leave entitlement, etc.).

5. BENEFITS

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HEALTH BENEFITS AND LIFE INSURANCE

Purpose

In general, all permanent employees and employees whose appointments are for more than 1 year are eligible for health benefits and life insurance. Both programs provide group rates and Agency contributions toward the premiums. Leave Without Pay could impact these benefits.

Supervisor's Role

The availability of employee benefits is very important in both the recruitment and retention of highly qualified employees. As a supervisor, you must be aware that the Federal Government offers benefits in these two areas, and direct any specific questions to your personnel office.

References

Federal Employees' Health Benefits Program Booklet (SF 2809-A); Federal Employees' Group Life Insurance Booklet (RI 76-21)

CONTACT

For more information on health benefits and life insurance, contact your Servicing Personnel Office.

RETIREMENT

Purpose

In general, all permanent employees and employees whose appointments are for more than 1 year are eligible for retirement coverage. The Federal retirement programs provide for retirement, disability, and survivor benefits. Leave Without Pay could impact these benefits.

Supervisor's Role

The importance of a good retirement system cannot be overstated. An awareness of the retirement programs can be used by the supervisor in both recruitment and retention of highly qualified employees. When questions regarding retirement benefits arise, employees/applicants should be referred to your personnel office for information.

References

Federal Employee Retirement System pamphlet (RI 90-1); Thrift Savings Plan Summary booklet (TSPBKO8); Civil Service Retirement System Facts (RI 83-1 through 11); Civil Service Retirement System Handbook (RI 83-12); 228 FW 2—Retirement Systems

CONTACT

For more information on retirement, contact your Servicing Personnel Office.

BENEFITS FOR TEMPORARY EMPLOYEES

Purpose

Temporary appointments are made usually for 1 year or less. Generally, temporary employees are not entitled to benefits. If a temporary employee completes 1 year of temporary employment, and is then converted to another temporary appointment for 1 year or less, the employee is eligible to enroll in the Federal Employees' Health Benefits program. However, the employee must pay the full cost of the insurance. If the temporary employee is converted to a permanent appointment, benefits would then become available with Agency contributions toward the premium.

Supervisor's Role

When hiring temporary employees, you must be aware of any benefit options (or lack thereof) available to the temporary employee, as well as the impact of converting the temporary employee to permanent status.

References

Enrollment Information and Plan Comparison Chart for Certain Temporary Employees (RI 70-8)

CONTACT

For more information on benefits for temporary employees, contact your Servicing Personnel Office.

EMPLOYEE SEPARATIONS

Purpose

When an employee separates from FWS to accept employment in another DOI Bureau, in another Federal agency, or to leave Federal service, the employee must become inactive in the agency's automated personnel/payroll system, and he/she is subject to an exit clearance process. The employee's Servicing Personnel Office will process the separation in the agency's personnel/payroll automated system. The responsible offices for the exit clearance form must verify and certify whether the employee is released from any financial obligations owed to the agency, and that all Government-issued property, library materials, parking permits, credit cards, etc., have been returned.

Supervisor's Role

When an employee gives notice of separation, you should refer him/her to your Administrative Officer to obtain the appropriate forms. This should be done at least two weeks prior to separation. If the Request for Personnel Action (SF-52) and exit clearance forms are not completed, employees will experience a delay in receiving their lump sum annual leave check as well as a delay in forms necessary to obtain/continue benefits after separation.

CONTACT

For more information on employee separations and impact on benefits, contact your Servicing Personnel Office.

DEATH OF AN EMPLOYEE

Purpose

When an employee dies, whether expected or unexpected, the family will need guidance as to what needs to be done. This may also be true if an employee loses a family member through death. There are various claim forms that need to be filed in order for benefits to be paid.

Usually the family's first contact is with the employee's office. You might also be approached by an employee who is faced with a terminal illness and wants to discuss survivor benefits. These important issues can be discussed with the employee at whatever point they might be ready.

Supervisor's Role

When a family member contacts your office to report a death of an employee, or if an employee advises you of the desire to discuss survivor benefits, you should provide them with the telephone number of their Servicing Personnel Office. You may also offer to call on behalf of the family and request that office contact the family directly. If the family wants to contact that office directly, please call and let that office know to expect the call so that records can be pulled and preparation of the case may begin. At that time, you will be advised of what is needed from your office.

DEATH OF AN EMPLOYEE

References

Federal Employee Retirement System pamphlet (RI 90-1); Civil Service Retirement System Handbook (RI 83-12); Thrift Savings Plan Withdrawal Booklet; Federal Employees' Health Benefits Program Booklet (SF-2809-A); Federal Employees' Group Life Insurance Booklet (RI 86-21); Fact Sheet for Death in Service

CONTACT

To report the death of an employee or for more information on death benefits, contact your Servicing Personnel Office.

6. EEO

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EEO OBJECTIVES

Purpose

The objectives of Equal Employment Opportunity (EEO) are to provide full and fair employment opportunities for all employees and applicants for employment and to provide for the non-discriminatory treatment of all employees in the course of carrying out their workplace duties. Employees should be offered employment and career advancement opportunities consistent with merit principles (based on performance and abilities).

Supervisor's Role

As a supervisor, you are involved in virtually all of the decisions that directly impact the success or failure of your organization's EEO program. You fill vacant positions and make selections for promotions, you approve training and detail employees to other positions, and you set the tone for dealings among employees in your organization. In order to comply with EEO goals, you should be familiar with EEO objectives, programs, and complaint issues.

References

29 CFR part 1614—Federal Sector Equal Employment Opportunity, Subpart A—Agency Program; DOI/Service/Regional Affirmative Employment Plans; 060 FW—Equal Opportunity Program; 062 FW—Affirmative Employment Program; your own performance plan EEO element

CONTACT

For more information on EEO objectives, contact your EEO Manager, Office for Diversity and Civil Rights Programs.

Some Types of Activities Involving EEO Considerations from Supervisors

- Recruitment
- Hiring
- Promotions
- Awards
- Professional Development
- Training

EEO SPECIAL EMPHASIS PROGRAMS

Purpose

Many different EEO Special Emphasis Programs exist within FWS. These programs assist supervisors by providing resources that support EEO goals such as affirmative employment and reasonable accommodations for disabled employees and applicants. These programs also seek continued progress with respect to the representation of women, minorities and individuals with disabilities in the Service, as well as increases of women, minorities and individuals with disabilities in managerial, supervisory, and policy-making positions, and on key selection and assignment panels.

Supervisor's Role

As a supervisor you can use these resources to assist you in supporting the principles of affirmative employment and equal employment opportunity, specifically to increase the representation of women, minorities and individuals with disabilities in FWS' workforce.

References

DOI/Service/Regional Affirmative Employment Plans; your own performance plan EEO element

CONTACT

For more information on EEO programs, contact your EEO Manager, Office for Diversity and Civil Rights Programs.

EEO Special Emphasis Programs

- Black Employment Program
- Federal Women's Program
- Disabled Employment Program
- Hispanic Employment Program
- Affirmative Employment Program
- Native American Employment Program
- Asian Employment Program

COMPLAINTS OF DISCRIMINATION

Purpose

Federal law prohibits discrimination against employees or applicants because of their race, color, religion, sex (including sexual harassment), national origin, age, handicap, or reprisal. Individuals who want to file a complaint under the Equal Pay Act can now use the same system provided for other complaints of discrimination under 29 CFR part 1614.

Supervisor's Role

As a supervisor, you are involved in virtually all of the decisions that directly impact the success or failure of your organization's EEO program. You fill vacant positions and make selections for promotions, you approve training and detail employees to other positions, and you evaluate the performance of employees in your organization. In order to comply with EEO goals and minimize the likelihood of a complaint, you should be familiar with EEO objectives and programs.

References

Title VII of the 1964 Civil Rights Act, as amended in 1972; 29 CFR part 1614; EEOC Management Directive 110; 061 FW—Complaint Processing and Adjudication

CONTACT

For more information on complaints of discrimination, contact your EEO Manager, Office for Diversity and Civil Rights Programs.

EEO COMPLAINT ISSUES

Purpose

An employee who believes that he/she has been treated unfairly due to discrimination can file a complaint on issues such as promotion, reprimand, termination, job training, assignment of duties, awards, reassignment, denied within-grade increases, reprisal, sexual harassment, etc.

Supervisor's Role

As a supervisor you are involved in virtually all of the decisions that directly impact the success or failure of your organization's EEO program. You fill vacant positions and make selections for promotions, you approve training and detail employees to other positions, and you evaluate the performance of employees in your organization. In order to comply with EEO goals and minimize the likelihood of a complaint, you should be familiar with EEO objectives and programs.

References

Title VII of the 1964 Civil Rights Act, as amended in 1972; 29 CFR part 1614; EEOC Management Directive 110; 061 FW—Complaint Processing and Adjudication

CONTACT

For more information on EEO complaint issues, contact your EEO Manager, Office for Diversity and Civil Rights Programs.

COMPLAINT PROCESS (GENERAL)

Purpose

A Federal employee or applicant who believes that he/she has been discriminated against can initiate a complaint of discrimination by contacting an EEO Counselor within 45 days of the alleged discriminatory occurrence. For more information on the formal and informal processes, see the overviews on pages 6-13 and 6-15. While an employee can't use Government equipment or postage to prepare or send a complaint, he/she can request approval for a reasonable amount of Government time to prepare the complaint.

Supervisor's Role

Federal EEO regulations require you to provide full cooperation with EEO counselors and investigators in the performance of their duties throughout the complaint process. As a supervisor, you have the responsibility to make a good-faith effort to understand the complaint process and to resolve complaints of discrimination early in the process.

References

29 CFR part 1614; EEOC Management Directive 110; 061 FW—Complaint Processing and Adjudication

CONTACT

For more information on the complaint process, contact your EEO Manager, Office for Diversity and Civil Rights Programs.

EEO COUNSELORS

Purpose

FWS EEO Counselors perform a vital role as a conduit through which employees and supervisors can resolve various EEO problems and issues. EEO Counselors are trained to resolve EEO problems informally and in a timely and appropriate manner.

Supervisor's Role

Federal EEO regulations require all supervisors and managers to cooperate with EEO Counselors and investigators in the performance of their duties throughout the complaint process. All supervisors and managers have a responsibility to make a good-faith effort to understand the complaint process and to resolve complaints of discrimination early in the process.

References

29 CFR part 1614; EEOC Management Directive 110; 061 FW—Complaint Processing and Adjudication

CONTACT

For more information on EEO Counselors, contact your EEO Manager, Office for Diversity and Civil Rights Programs.

You can cooperate with an EEO Counselor by:

- Maintaining accurate documentation of the incident and providing it to the Counselor when requested
- Providing the employee adequate time to document his/her complaint
- Allowing the employee time to meet and work with the Counselor
- Making yourself available to the Counselor and the employee as required

INFORMAL COMPLAINT PROCESS

An Overview of the Informal Complaint Process...

1. Employees or applicants who feel they have been discriminated against must contact an EEO Counselor or the EEO Manager within 45 days of the discriminatory occurrence. Failure to meet time limitations may affect the employee's right to file a formal complaint.
2. The employee will meet with the EEO Counselor and discuss the situation. If the employee or applicant still wishes to pursue the matter, the Counselor will proceed with steps 3–6.
3. The Counselor will gather information by interviewing witnesses of the alleged discriminatory occurrence, if any exist, and by contacting the named official and/or responsible management official to discuss the allegations.
4. Attempts to resolve the complaint will be made during the counseling stage. The informal process will take 30 days, or 60 days if the aggrieved employee or applicant agrees to using the Alternative Dispute Resolution process to seek resolution.
5. If the complaint is not resolved at the informal stage, the complainant receives a Notice of Final Interview and is advised of his/her right to file a formal complaint within 15 days of receipt of the notice.
6. The EEO Counselor shall submit a counselor report to the EEO Office within 15 days of notification of a formal complaint being filed.

FORMAL COMPLAINT PROCESS

An Overview of the Formal Complaint Process...

1. The complainant files a formal complaint within 15 days of receiving a Notice of Final Interview with the Office for Diversity and Civil Rights Programs.
2. The Office for Diversity and Civil Rights Programs accepts or rejects the complaint and has 180 days from the date of filing to conduct an investigation.
3. When the investigation is completed, the Agency forwards a copy of the report of investigation (ROI) to the complainant and notifies him/her of the option to request an Equal Employment Opportunity Commission (EEOC) hearing or a final Agency decision.

For more information or for procedures beyond 1-3, contact your EEO Manager, Office for Diversity and Civil Rights Programs.

PREVENTING SEXUAL HARASSMENT

Purpose

The Equal Employment Opportunity Commission defines sexual harassment as unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature. Sexual harassment is a violation of Federal law.

Supervisor's Role

The importance of dealing decisively with a sexual harassment complaint cannot be overemphasized. Once you become aware of a sexual harassment situation, you must take immediate and appropriate corrective action to ensure that the harassment ends. Every level of management has a responsibility to provide guidance on the FWS policy on preventing sexual harassment. This should be done periodically for the benefit of new employees and as a reminder to current employees.

References

Title VII of the 1964 Civil Rights Act, as amended in 1972; 29 CFR part 1614; EEOC Management Directive 110; 061 FW—Complaint Processing and Adjudication; DOI/Service policy on sexual harassment

CONTACT

For more information on sexual harassment, contact your EEO Manager, Office for Diversity and Civil Rights Programs.

Identifying Sexual Harassment

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

1. Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment,
2. Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such an individual, or
3. Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

PREVENTING SEXUAL HARASSMENT

Examples of Unacceptable Behavior

- Physical contact, such as caressing, massaging, patting, pinching, or touching any part of a person's anatomy
- Indiscreetly staring at someone in a sexual manner
- Complimenting someone on his/her appearance with a reference to a specific part of the person's anatomy
- Telling a sexually oriented joke within hearing distance of others
- Persistently asking a co-worker on a date when the co-worker is uninterested in the proposition
- Exhibiting sexually oriented visuals, such as nude or scantily dressed women or men

ALTERNATIVE DISPUTE RESOLUTION (ADR)

Purpose

The purpose of ADR is to provide assisted negotiation to resolve a conflict or dispute between two or more parties. ADR can be used to resolve internal issues, such as EEO complaints and grievances, as well as external issues, such as land acquisition and contract negotiation. ADR exists in a variety of forms, ranging from the informal (e.g., conciliation, mediation, using a neutral third party) to the formal (e.g., arbitration, negotiation, mini-trial, etc.). Mediation is the most widely-used form within the Service. The expected results are improved teamwork and interpersonal communication. ADR can be used at any time, at any stage of the EEO complaint process.

Supervisor's Role

Maintain open and consistent communication on work issues with employees, clarify misunderstandings, and make reasonable adjustments to address work problems and relationships with employees. Actively seek resolution to workplace issues at the earliest opportunity. Provide employees with communication, education, and access to information regarding the ADR process and participate as appropriate.

References

P. L. 104-320, Administrative Dispute Resolution Act of 1996; Executive Orders 12778 and 12871; P.L. 101-648, Negotiated Rulemaking Act of 1990; Civil Rights Act of 1991

ALTERNATIVE DISPUTE RESOLUTION (ADR)

CONTACT

For more information on ADR, contact your EEO Manager, Office for Diversity and Civil Rights Programs.

7. PERFORMANCE AND CONDUCT

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PERFORMANCE MANAGEMENT SYSTEMS

Purpose

Performance management systems are used as tools to define expected performance and evaluate and appraise employee and organizational performance. They are also used to make decisions concerning training, within-grade increases, promotions, and other performance-related actions.

Supervisor's Role

You have a number of performance management responsibilities for employees whom you directly supervise. You should work with employees to develop, implement, and update performance plans; monitor employee performance; conduct progress reviews as well as annual appraisals; and reward, recognize, or take corrective actions as appropriate.

References

5 USC 43; 5 CFR part 430; 370 DM 430; 224 FW 1—Performance Management System; negotiated agreements

CONTACT

For more information, contact your Servicing Personnel Office.

PERFORMANCE MANAGEMENT SYSTEMS

Two performance management systems . . . are used in the Service.

One covers supervisory and non-supervisory employees, GS-1 through GS-15 and all Federal Wage Grade employees, and one covers the Senior Executive Service.

PERFORMANCE MANAGEMENT SYSTEMS

Performance management is . . . comprised of a number of factors. To provide accurate and fair performance appraisals, you should:

- Involve employees in creating their performance plans. This includes identifying critical results and performance indicators.
- Identify individual critical results. A critical result is a key function of a job.
- Identify performance indicators within each critical result. Performance indicators are based on the requirements of the employee's assigned duties and responsibilities. They may be based on results where the final product defines the success of the employee, or manner of performance which refers to the way an employee acts on the job in order to produce the results.

continued...

PERFORMANCE MANAGEMENT SYSTEMS

- Observe and document the employee's performance throughout the year. Two formal reviews are required.
- Provide feedback and coaching for employees.
- Complete the performance appraisal by comparing the employee's performance to the performance indicators identified in the performance plan.
- Recommend and take action based on the employee's performance—recognize good performance throughout the year, through the use of appropriate awards, or by developing performance improvement strategies for poor performance.

COACHING AND DEVELOPMENT

Purpose

Performance coaching can be defined as the help that a supervisor provides to employees in analyzing their performance and other job behaviors for the purpose of increasing their job effectiveness. Effective coaching is critical for developing employees to reach their full potential. See the *Training and Development* section for more information on employee development.

The objectives of coaching are to:

- Provide a nonthreatening atmosphere in which the employee can freely express tensions, conflicts, concerns, and problems;
- Help the employee understand his or her strengths and weaknesses;
- Enhance the employee's understanding of the work environment;
- Increase the employee's personal and interpersonal effectiveness by giving feedback about behavior and assistance in analyzing interpersonal competence;
- Review the employee's progress in achieving objectives;
- Identify any problems that are hindering progress;
- Assist in generating alternatives and a final action plan for dealing with identified problems;

continued...

- Encourage the employee to set goals for further improvement;
- Provide whatever support the employee needs while implementing the action plan; and
- Help the employee to realize his or her potential.

Become an effective performance coach by first ensuring that the employee is willing to learn from coaching and understands the purpose of the coaching, and then encouraging the employee to function independently, rather than relying too heavily on you for decision making.

The following conditions contribute to effective coaching:

- A general climate of openness and mutuality;
- A helpful and empathetic attitude on the part of the supervisor;
- The establishment of an effective dialogue;
- A focus on work-related goals; and
- Avoidance of discussion about salary, raises, and other rewards.

COACHING AND DEVELOPMENT

Job Aid: Coaching Checklist

Ferdinand Fournies in *Coaching for Improved Work Performance* details the following coaching steps:

- **Identify the problem.** Good coaching begins with separating the behavior from the person—that means identifying the cause rather than the effect. In some cases, it means listening to the employee to discover what obstacles stand in his or her way to optimum performance.
- **Does the worker know that the problem exists?** Sometimes, performance problems exist because the individual worker or workers *think* their performance is acceptable. Another possibility is that, although the worker may know that he or she is not performing as expected, the deficiency itself is considered acceptable. These perceptions often result from too little feedback.
- **Does the worker know what the supervisor's expectations are?** One reason a worker doesn't perform up to a supervisor's expectations is that he or she doesn't know what those expectations are and, consequently, doesn't realize that a problem exists.
- **Does the worker know how to meet the supervisor's expectations?** Even when a worker knows what the supervisor's expectations are, he or she may not know what he or she is supposed to do and when to do it.

continued...

- **Are there obstacles outside the worker's control that are affecting the worker's performance?** Outside factors can have a direct effect on a worker's performance. Among these factors are equipment failure, late or incorrect reports or data, conflicting instructions, too many bosses, and lack of materials or supplies.
- **Does a positive consequence follow poor performance?** It is important to ensure that consequences exist for poor performance, and that those consequences do not reinforce unwanted behavior. An example is that an employee who has part of his or her work taken away is being rewarded for not getting his or her work done.
- **Does negative consequence follow good performance?** Unsatisfactory performance may occur because good performance is punished. This may be hard to recognize, and supervisors often have to take the worker's word for it. An example of negative consequences is that an employee who has to accept another employee's work because he/she finished his/her own tasks early.
- **Could the worker do it if he or she wanted to?** If the answer to the above questions is "no," the employee should be transferred to an area in which the employee can be successful or removed.

GENERAL AWARDS

Purpose

The two main purposes of the Service Award Program are to allow flexibility in recognizing individual and group achievements and to acknowledge contributions that lead to the achievement of results. The Program objectives are to encourage all employees to actively share in improving Government operations, enhance productivity and creativity, and optimize personal job satisfaction. Achievements should be recognized at the time of accomplishment.

Supervisor's Role

As a supervisor, you play a key role in the Service Award Program. Through daily contact with employees, you are in a position to ensure that employee contributions are recognized in a timely manner.

References

5 USC 45—Incentive Awards; 5 CFR part 451—Incentive Awards; DOI Human Resources Management Handbook—Awards and Recognition Program; 224 FW 3 through 7—Employee Recognition and Incentive Program; 904 FW 1 through 2—Conservation and Public Service Awards

CONTACT

For more information on incentive awards, contact your Servicing Personnel Office.

All awards require a completed Form DI-451, Department of the Interior Award Certification.

MONETARY AWARDS

Monetary awards are . . . cash awards that may be granted to recognize an individual or team of Service employees for: achieving results; customer service; displaying exemplary behavior, dedication, innovation, and/or cooperation; fostering partnerships; promoting diversity; ensuring workplace safety; or sustained exceptional service.

The Service offers the following types of monetary awards:

On-the-Spot Award

A cash award granted to provide immediate recognition for achievements. On-the-Spot Awards have a net value between \$50 and \$500. Employees may receive no more than three On-the-Spot Awards in a fiscal year. On-the-Spot Awards are approved by the second-level supervisor, and are paid through the normal payroll process.

Special Thanks for Achieving Results (STAR) Award

A cash award of \$925 gross value or more. The award amount should be proportional to the value of the individual or team accomplishment, considering the overall benefit to the Government. STAR Awards under \$2,500 are approved by Regional and Assistant Directors. Awards in excess of this amount must be reviewed by the Incentive Awards Committee and approved by the Director. STAR Awards are paid through the normal payroll process.

MONETARY AWARDS

Quality Step Increase

A Quality Step Increase (QSI) is a form of recognition that is based on an evaluation of an employee's performance that clearly shows a high level of performance for a period of 6 months or more. A QSI raises the employee's base pay and results in long-term benefits to the employee. A QSI is a faster-than-normal advancement to the next step within the grade level. To be eligible for a QSI, an employee must achieve all critical results contained in his/her Employee Performance Plan and Results Report (DI-2002). A QSI is the only monetary award linked directly to the employee's performance plan and rating of record. Supervisors should be aware that a QSI is intended to recognize an employee who is expected to remain in the same or similar position at the same grade level for at least 60 days after initiation of the award recommendation, and continue at the same high level of performance. No more than one QSI may be granted to an employee within any 52-week period. A recommendation for a QSI should be submitted as soon as possible, but no later than 60 days after completion of the period of performance that is being rewarded so that the award will be timely.

NON-MONETARY AWARDS

Non-monetary recognition and informal honors are . . . granted to employees for: superior accomplishment of regular duties; exceptional achievement of project goals; noteworthy accomplishments over a sustained period of time; or specific contributions to the Service's mission.

Examples of Non-Monetary Awards:

Items of Nominal Value

Coffee cups, key chains, or similar gifts under a \$25 cash value.

Items of Significant Value

Pen-and-pencil sets, clocks, or similar gifts with a \$26 to \$250 cash value.

Note: Approving Officials should use care in selecting appropriate items for non-monetary recognition to avoid appearance of misuse of Government funds.

Informal Honors

Letters of Commendation, certificates, or thank-you notes.

Time Off Recognition

An excused absence awarded to an employee without charge to leave. The minimum time-off award is one hour.

HONOR AWARDS

Honor awards are . . . the most prestigious recognition that can be granted by the Department for career accomplishments, exceptional support of the Department mission, or heroism. Honor awards are meant to be progressive career recognition and should be awarded at successive career milestones.

Highest Honors —The highest honor awards are presented to career employees or non-employee partners. Recipients must have demonstrated extremely significant long-term contributions to Departmental programs and missions.

Distinguished Service Award	For career employees, typically those who have received the Meritorious Service Award.
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Conservation Service Award	For private citizens or organizational partners.
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HONOR AWARDS

Mid-Level Honors – The second-highest honor awards presented to employees, groups, and partners who have made exceptional continuing contribution(s) to Department or Service mission accomplishment.

**Meritorious
Service Award**

For career employees, typically in mid-career, who may have received one or more Superior Service Awards.

**Outstanding
Service Award**

For political appointees.

**Unit Award for
Excellence of
Service**

For exceptional contribution(s) of employee groups, units, or teams.

HONOR AWARDS

Initial Honors—The first level of recognition in the honor awards program, presented to career or non-career employees, volunteers, or other partners who have made significant contribution(s) to the Service.

Superior Service Award	For career employees.
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Service Citizen's Award	For private citizens or organizational partners, including volunteers.
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Director's Corporate Wildlife Stewardship Award	For private industry.
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HONOR AWARDS

Heroic Act Honors – Honorary recognition granted to employees for heroic acts or unusual bravery in the face of danger.

Valor Award

For employees who risk their lives while attempting to save the life of another.

**Citizen's Award
for Bravery**

For private citizens who risk their lives to save the life of an employee serving in the line of duty or the life of any other person, while on property owned by or entrusted to the Service.

**Exemplary Act
Award**

For employees or private citizens who attempt to save the life of another, or for private citizens who attempt to save the life of an employee serving in the line of duty or any other person while on property owned by or entrusted to the Service, when risk to their own lives is not an issue.

PERFORMANCE-BASED ACTIONS

Purpose

Performance-Based Actions are initiated at any time during the performance appraisal cycle when an employee's performance is determined to be unacceptable (i.e., is at the “fails to meet performance indicators” level in one or more critical results when compared to the performance indicators in his/her performance plan). When an employee's performance is unacceptable, you must develop a Performance Improvement Plan (PIP), which is intended to help the employee achieve and maintain acceptable performance (i.e., “meets performance indicators”), or failing that, to enable the supervisor to take other appropriate action.

Supervisor's Role

Early intervention is critical to resolving performance problems, and your Servicing Personnel Specialist is the best person to assist you. As a supervisor you must discuss the performance problem with the employee as well as develop a PIP. Your Servicing Personnel Specialist can assist you with PIP guidelines, timeframes, and any subsequent necessary action.

References

5 USC 43; 5 CFR parts 430 (Performance Management) and 432 (Performance-Based Reduction in Grade and Removal Actions); 370 DM 430; 224 FW 2—Performance-Based Actions

PERFORMANCE-BASED ACTIONS

CONTACT

If you must take a Performance-Based Action, it is critical that you contact your Servicing Personnel Office immediately.

A Performance Improvement Plan . . . is developed at any time during the performance appraisal cycle when an employee's performance is determined to be at the Unacceptable level (i.e., fails to achieve critical results). The PIP establishes timelines and improvement goals for the employee and, if necessary, is a prerequisite for reduction in grade or removal. While it is critical that you contact your Servicing Personnel Office when there is a potential need to take a Performance-Based Action, the following provides an overview of the process:

1. You must notify the employee, in writing, of the critical result(s) of his/her PIP that is (are) being performed at the Unacceptable level (i.e., fails to achieve critical results).
2. Clearly describe the performance requirement(s) or indicator(s) that must be attained to demonstrate acceptable performance in his/her position.

continued...

PERFORMANCE-BASED ACTIONS

3. Establish a reasonable period of time for the employee to demonstrate improvement. The period allowed must be commensurate with the duties and responsibilities of the employee's position.
4. Inform the employee that unless the performance of the critical results is improved and sustained at an acceptable level, he/she may be reduced in grade or removed.
5. Offer appropriate assistance to the employee in improving unacceptable performance.
6. Inform the employee that unless his/her performance in the critical result(s) improves to and is sustained at an acceptable level, he/she may be reduced in grade or removed.

NOTE: If an employee's performance continues to be unacceptable in one or more critical results after the opportunity to improve has expired, then you may be forced to take appropriate action. Before taking a performance-based action, consult with your Servicing Personnel Office.

DENIAL OF WITHIN GRADE INCREASES

Purpose

An employee's current rating of record must show Results Achieved in order to receive a Within Grade Increase (WIGI) in pay. An employee who has a current rating of record of Results Not Achieved will not be granted a WIGI until performance improves to the Results Achieved level.

Supervisor's Role

As a supervisor, you are responsible for evaluating the performance of your employees and then informing them if they will receive a WIGI or if their WIGI will be denied. As with conduct or performance-based actions, it is essential to immediately document all information that supports the denial of the WIGI, since you must prepare a notice of the decision (see "When a WIGI is denied..." and "In a WIGI denial letter you should..." in this section). You must consult with your Servicing Personnel Office to ensure that the decision notice about denial of the WIGI issued to the employee is consistent with regulatory requirements and collective bargaining agreements.

References

5 CFR part 531, subpart D; 370 DM 531

CONTACT

For more information on denying WIGIs, contact your Servicing Personnel Office.

DENIAL OF WITHIN GRADE INCREASES

When a WIGI is denied . . .

1. Inform the employee orally and in writing about the determination of an unacceptable level of competence. This should be issued as soon as possible after the WIGI due date. Describe to the employee how the performance on the critical result(s) must improve to receive the WIGI.
2. Inform the employee of his/her right to request reconsideration, and identify the reconsideration official.
3. Explain to the employee that if, during the next 52 weeks, the employee demonstrates performance over at least 120 calendar days at the Results Achieved level, the WIGI will be granted.

continued...

DENIAL OF WITHIN GRADE INCREASES

4. When a negative determination is sustained after reconsideration, the employee will be informed in writing, of the reasons and of the right to appeal the decision to the Merit Systems Protection Board. For employees covered by a collective bargaining agreement, a negative determination after reconsideration must be reviewed in accordance with the terms of the agreement.

In a WIGI denial letter you should . . .

1. State that the employee's performance is not at an acceptable level of competence to receive the WIGI. Include date of recent performance appraisal and the date the WIGI was due.
2. Describe the requirements that must be met to receive a WIGI.
3. State that the WIGI is withheld and cite the DOI regulation that supports the denial action.

continued...

DENIAL OF WITHIN GRADE INCREASES

4. State the rights of the employee. These include the right to request reconsideration of the denial of the WIGI, the right to be represented in the matter by someone of the employee's choosing (with some restrictions), and the right to be granted official time to review the performance rating(s) on which the negative determination was based.
5. State the time limit for requesting reconsideration of the WIGI denial. State that in order for the WIGI to be granted, the employee must perform at a Results Achieved level on all critical elements of the performance plan.
6. Provide the name and phone number of the Servicing Personnel Specialist who can assist the employee if he/she has questions or concerns that you cannot address.

For a sample WIGI denial letter, contact your Servicing Personnel Office.

CONDUCT-BASED ACTIONS

Purpose

When an employee’s conduct is unacceptable, corrective measures called conduct-based actions must be taken. Examples of unacceptable conduct include leave abuse, failure to follow supervisory instructions, violation of the Standards of Conduct, etc. (for more information on the Standards of Conduct, see the *Ethics and Integrity* section of this Guide).

Supervisor’s Role

As a supervisor it is your duty to take steps to correct an employee’s unacceptable conduct. You should address the unacceptable conduct as soon as possible. In addition to maintaining documentation of the inappropriate behavior, you should work with your Servicing Personnel Office to decide and administer the appropriate action. Depending on the severity of misconduct, the employee may be issued an oral warning which can be followed up in writing. In most situations, you will pursue a “progressive” course of action (see “When you take corrective measures for a conduct problem...” on the following page).

References

227 FW 2—Disciplinary and Adverse Actions; 370 DM 752; 5 CFR part 752

CONTACT

For more information on conduct-based actions, contact your Servicing Personnel Office.

CONDUCT-BASED ACTIONS

When you take corrective measures for a conduct problem . . . you will normally pursue what is called a progressive course of action. A progressive course of action begins with a relatively minor action such as an oral warning, but can go so far as to remove the employee from Federal service.

continued...

CONDUCT-BASED ACTIONS

Progressive actions ensure that the employee is given adequate notice of the problem, identify what the employee must do to rectify it, and state the consequences if he/she does not correct or cease the inappropriate conduct. Progressive actions are as follows:

1. Oral counseling or warning
2. Written warning or notice
3. Written official reprimand
4. Suspension of 14 days or less
5. Suspension of 15 days or more
6. Reduction in grade or pay
7. Removal of the employee from Federal service

NEW EMPLOYEE PROBATION

Purpose

When new employees are hired, they are placed on a 1-year probationary period. During this time, employees are evaluated to see if they are suitable for Federal service and capable of meeting the needs of the position for which they were hired. If an employee is terminated because of misconduct or work performance problems during this probationary period, the employee has limited appeal rights.

Supervisor's Role

It is your job as a supervisor to maintain complete documentation of the probationary employee's performance and conduct, as only employees who are performing at the Results Achieved level and who demonstrate acceptable conduct and leave usage should be retained. If any performance, conduct, or leave abuse problems develop, you should notify your Employee Relations Specialist.

References

5 CFR part 315

CONTACT

For more information on new employee probation or for information on how to address deficient performance, attendance, or conduct, contact your Servicing Personnel Office.

NEW EMPLOYEE PROBATION

During the employee's probationary period you should . . .

- Discuss performance, conduct, and/or attendance problems with the employee as they develop.
- Keep thorough and accurate documentation of all discussions.
- Follow up all conversations between you and the employee with a written record of the discussion, including a statement of the problem, proposed solution, and timelines.
- Contact your Servicing Personnel Office for assistance with performance, leave, or conduct problems well before the end of the probationary period.

NEW SUPERVISOR PROBATION

Purpose

Just as new employees are placed on a 1-year probation, all employees who are promoted to supervisory or managerial positions are placed on a probationary period of 1 year. During this time, the new supervisor or manager is evaluated to see if he/she is suitable for and capable of performing the full range of supervisory duties in the Federal service. All probationary supervisors and managers must achieve Results Achieved performance ratings and demonstrate acceptable conduct during their probationary period to be retained in their positions.

Supervisor's Role

If you supervise a new supervisor or manager, you must assess the new appointee's supervisory and/or managerial performance. If the employee's performance or conduct is deficient, the employee may be returned to a non-supervisory or non-managerial position. If the employee is removed from the supervisory position, normally he/she will be assigned to another position of no lower grade or pay than the one he/she left to accept the supervisory position.

References

5 CFR part 315; 223 FW 4—Initial Probation for Supervisors and Managers; for tips on documentation during this period, see *New Employee Probation* in this section

NEW SUPERVISOR PROBATION

CONTACT

For more information on new supervisor probation, contact your Servicing Personnel Office.

8. TRAINING AND DEVELOPMENT

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OVERVIEW OF TRAINING

Purpose

There is a constant need for employee training and development due to a number of factors, including hiring new employees, the introduction of new technology, organizational changes, new processes, etc. Enhancing employee knowledge, skills, and abilities will increase the productivity of your employees and their ability to successfully complete both routine and increasingly complex work assignments. It is in the best interests of your work unit to train and develop your employees to the maximum extent of their capabilities.

Supervisor's Role

Through your frequent interactions with employees (e.g., making assignments, monitoring and evaluating performance, observing, etc.), you are in the best position to determine employee training and developmental needs. You define the nature of the training need, recommend the training source, and initiate the appropriate training nomination and authorization form.

References

A list of training support references and tools is provided in *Training Resources* and *Training References* on pages 8-27 through 8-31

CONTACT

For more information on training in general, contact your Regional Training Coordinator, Personnel Office, or the Division of Training at NCTC.

OVERVIEW OF TRAINING

Training and development programs may be authorized to . . .

- Provide knowledge and skills that relate directly to job requirements
- Develop skills needed to cope with reorganizations, changing mission requirements, and technology or equipment changes
- Train scientists, engineers, and other professionals to preclude knowledge or skills from becoming obsolete
- Prepare employees with demonstrated potential for increased responsibility in meeting future staffing or organizational requirements
- Provide orientation and basic training for new employees
- Implement Administration initiatives

OVERVIEW OF TRAINING

Employee training and development needs may be met by:

- Planned work experiences, special projects, details, etc.
- Self-development (e.g., membership in professional organizations)
- Training and education provided through the National Conservation Training Center and other Government and non-Government facilities

OVERVIEW OF TRAINING

Keys to Success

- Become familiar with your employees—identify their strengths and areas that need improvement.
- Develop a working knowledge of available training resources and options (see *Training Resources* on page 8-27).
- Orient new employees to their office and work environment.
- Learn the process for initiating, authorizing, and approving training and development actions, the delegations of authority, etc. (see *Initiating Standard Form SF-182* on page 8-17).
- Supplement employees' training by coaching them toward improved performance, i.e., through regular feedback in the form of encouragement and knowledge.

continued...

OVERVIEW OF TRAINING

- Recognize that training is not always the solution—the problem may be equipment-related, the work process, a communication issue, or otherwise not able to be remedied through training.
- Consider training sources, including NCTC or other Government-sponsored training, or outside sources.
- Don't forget yourself when identifying training and developmental needs!

ORIENTING NEW EMPLOYEES

Purpose

Orienting a new employee is a very important activity. Unfortunately, it may be overlooked in the effort of accomplishing the office's work. Orienting new employees assists them in adjusting to their new environment, new tasks, and new co-workers. You are likely to do a better job at orientation if you plan what to do, and when to do it, before your employee arrives. On the following pages is a brief checklist of items that should be done before the employee arrives, and during the employee's first day, week, and month.

Supervisor's Role

Whether or not your Region conducts a new employee orientation, you should plan orientation activities for all of your new employees. What you do in the first few days and weeks to help the employee's transition may serve to establish work habits, relationships with co-workers, and overall contributions of the employee for months to come.

CONTACT

For more information on orienting new employees, contact your Servicing Personnel Office.

ORIENTING NEW EMPLOYEES

Before your new employee arrives, you should . . .

- Contact the new employee and welcome them. Provide them information on when, where, and what time to report, appropriate attire, parking, etc.
- Announce the selection of the new employee to your staff and ask for their support in helping him/her adjust.
- Make arrangements to set up and equip the new employee's work station.
- Arrange for the addition of an e-mail ID and network login ID (if applicable).
- Assemble some preliminary assignments or substantive reading materials.
- Develop some job-related tasks that the new employee can complete on the first full day in their position. This will provide the employee with a sense of accomplishment.
- If appropriate, select co-workers who can assist you in the orientation. Co-workers can help the employee feel comfortable and adapt to the new environment.
- Have quarters ready for occupancy if Government quarters are used.

continued...

ORIENTING NEW EMPLOYEES

- Ensure that you have received a new employee orientation package from the Servicing Personnel Office. *If you are at a field station and the new employee will not have direct access to the Servicing Personnel Office for the personnel orientation, you should coordinate closely with your personnel specialist to ensure that you receive an orientation package. The Servicing Personnel Office can answer questions and provide assistance to the new employee on all aspects of the personnel orientation.*

ORIENTING NEW EMPLOYEES

On the employee's first day, you should . . .

- Welcome and put the employee at ease. Encourage questions.
- Give the employee an overview of what the onsite orientation will cover. Mention Regional New Employee Orientation training, if applicable.
- Show the employee around the work area and other facilities, including the location of telephones, mailboxes, copy machines, fax machines, restrooms, etc. Discuss security of building/property.
- Review how to operate the telephone system and how to answer the telephone.
- Review how to access the computer and e-mail, if applicable.
- Review work hours and work schedule options, lunch schedules, leave policies, annual leave, sick leave, overtime and compensatory time and holidays. Include who can approve leave in advance and unscheduled leave.
- Identify the person(s) the new employee can go to for help if you are absent.

continued...

ORIENTING NEW EMPLOYEES

- Arrange for issuance of Government Identification Card.
- Introduce the new employee to co-workers, supervisors, and managers, and explain the relationship of their work to the employee's.
- Go over safety, accident, and emergency procedures for the work area.
- Have the new employee complete job-related tasks that will provide a sense of accomplishment.
- View with your new employee the orientation video and explain how your office/station supports the mission of the Service.
- Assist the new employee in completing the necessary appointment documents. If you are located in the Washington or Regional Office, direct or have a co-worker escort the new employee to the personnel office to complete appointment documents.

ORIENTING NEW EMPLOYEES

By the end of the employee's first week, you should . . .

- Review the employee's position description, emphasizing critical duties and responsibilities. Explain how the employee's work is important to the immediate office and how the office's work contributes to the mission of the Service.
- Communicate your performance expectations.
- Point out frequently-used internal forms, where they are kept, and how they are used.
- Review policies and procedures for the office, and go over guides, instruction manuals, standard operating procedures, etc., that are available in the work area. Review special words and terms used by the office.
- Provide the employee with positive feedback, and offer suggestions that will help the employee learn the job and fit in with the group. Ask the employee how the first week went and discuss any areas of concern.
- Explain the organizational structure of the Department and the Service.
- Arrange for any necessary on-the-job training.

ORIENTING NEW EMPLOYEES

Within the employee's first month, he/she should have been provided information on . . .

- Retirement*
- Federal Employees Group Life Insurance (FEGLI)*
- Federal Employee's Health Benefits Program (FEHB)*
- Thrift Savings Plan (TSP)*
- Employee Assistance Program
- Ethics—An Employee Guide
- Conflict of Interest Regulations
- Political Activity Guidance
- Equal Employment Opportunity Policy & Guidance

*Provided for permanent employees

ORIENTING NEW EMPLOYEES

By the end of the employee's first month, you should . . .

- Establish and sign the employee performance plan. Discuss what is involved in a performance rating, specifically: critical elements of the position that will be used to measure performance; how performance is documented; and the time performance reviews and ratings will take place.
- Discuss incentive awards.
- Review the employee's work progress to date. Provide any positive feedback and discuss any areas of concern that you or the employee identify.
- Provide the employee with general information on personal growth and training opportunities, as well as promotional procedures. Decide together what training and developmental activities are necessary within their first year. Discuss the Service policy on 40 hours of training per year.

continued...

ORIENTING NEW EMPLOYEES

- Confirm that the employee has reviewed the **Ethics—An Employee Guide, Standards of Ethical Conduct for Employees of the Executive Branch, Conflict of Interest Regulations**, and **Political Activity Guidance**. Emphasize that it is the employee's responsibility to be aware of the requirements and restrictions of these documents and to comply with them.
- Discuss office procurement procedures and how to obtain supplies.
- Discuss how to obtain reimbursement for incidental expenses.
- Discuss basic Federal travel regulations.
- Arrange for Government Purchase Card, if appropriate.

INITIATING FORM SF-182

Purpose

The Request, Authorization, Agreement and Certification for Training, SF-182, is the primary Agency document used to nominate and authorize employee participation in training activities. It is also used to record all Government and non-Government training, to serve as a purchase order for the training provider, and in lieu of cash for registration at an educational institution.

Note: NCTC does not require a copy of the SF-182 for FWS employees, only a completed NCTC application.

Supervisor's Role

It is your responsibility to initiate the training and authorization process using the SF-182. You should consider the training needs of employees initially when performance standards and work plans are established, during periodic reviews of the employee's performance, and soon after the annual final appraisal.

References

231 FW 1—Policy and Responsibilities

CONTACT

For more information on initiating the SF-182, contact your Regional Training Coordinator or Personnel office.

INITIATING FORM SF-182

When completing the SF-182 . . . it is important to maintain care and accuracy. Some reminders include:

- You should sign all SF-182s.
- Prior approval of all training must be obtained in writing on the SF-182.
- You should always follow routing procedures established for your Office or Region.
- No training may be conducted or paid for which has not been authorized prior to the start of training.
- The 10-part version of the SF-182 is to be used for all training where costs are involved. The 5-part version is to be used for Service or Departmental training where no costs are involved.

INITIATING FORM SF-182

Within 30 days after training . . . you are responsible for ensuring that the employee provides you with a written evaluation of the course—Part 5 (Evaluation and Completion copy) of the SF-182.

Employees should keep a copy of the SF-182 to document training completed. Copies of the SF-182 are no longer filed in the employee's OPF.

INDIVIDUAL DEVELOPMENT PLANS

Purpose

An Individual Development Plan (IDP) is an employee development tool that identifies activities that will help the employee enhance his/her knowledge, skills, and abilities. The IDP process provides an opportunity for you to learn about your employee's goals, as well as communicate his/her strengths and deficiencies in a developmental context.

Supervisor's Role

Through your frequent interactions with employees, you are the person to best determine an employee's training and development needs. When creating an IDP, you should take the lead in formulating a partnership with the employee. The employee should identify realistic goals and activities to achieve them, and you should assist him/her by providing feedback and suggestions. *The format for an IDP can be downloaded from NCTC's Web page (www.fws.gov/r9nctc/nctc.html).*

References

231 FW 2—Determining Training Needs

CONTACT

For more information on preparing employee IDPs, contact your Regional Training Officer, Personnel Office, or NCTC's Division of Training.

INDIVIDUAL DEVELOPMENT PLANS

When completing an Individual Development Plan . . . it should be a joint effort between the employee and you. You should consider your organization's needs, technology changes, expected turnover, program plans, etc. The IDP should not be a "wish list," but a realistic working document. The employee is accountable for following through with the IDP activities. Sections of the IDP include:

Long Range Goals—This is a statement of what the employee hopes to achieve, within the next 3–5 years, such as a promotion to supervisor, the assignment of managing a project, or even changing to an entirely different position.

Developmental Needs—This is a list of skills that are necessary to meet the requirements of the employee's current job or long-range goals. An example is "presentation skills."

Developmental Objectives—These are statements defining who will do what, under what conditions. An example is "Mary Smith will be able to make clear, effective presentations to Office or Division staff."

continued...

INDIVIDUAL DEVELOPMENT PLANS

Developmental Mechanism/Source—This is a list of the strategies the employee will use to achieve the developmental objective. Examples include “Attend NCTC’s Professional Presentations course” and “Join Toastmasters International public speaking group.”

Proposed Dates—List when the activities are offered or, if appropriate, by when they are to be completed.

Cost Estimate—List the approximate costs of each of the activities—be sure to include the tuition or course fees as well as any travel and per diem costs associated with the activities.

INDIVIDUAL DEVELOPMENT PLANS

INDIVIDUAL DEVELOPMENT PLAN (IDP)					
Name of Employee	Employee's Position Title/Grade	Office Phone Number	Office Fax Number	Email Address	Employee's Signature Date
Current Supervisor's Name	Supervisor's Title	Office Phone Number	Office Fax Number	Email Address	Supervisor's Signature Date
Long Range Goals (3–5 years)					
Developmental Needs to meet the requirements of your current position and/or to achieve long range goals					
Developmental Activities for FY_____					
Developmental Objective	Mechanism or Source	Proposed Dates	Cost Estimate	Comments	

UPWARD MOBILITY TRAINING AGREEMENT (UMTA)

Purpose

The purpose of the Upward Mobility Training Agreement (UMTA) is to provide maximum opportunity for lower-graded employees (GS-1 through GS-9) to advance and perform at their highest potential. This training agreement makes it possible to substitute intensive specialized training for a portion of the normal experience requirements for a position and makes it possible to place the trainee into the targeted occupational series during the training program.

Supervisor's Role

You should consider the Upward Mobility Program as a viable recruitment alternative that provides career enhancement opportunities to underdeveloped employees. In addition, you should develop new performance standards for upward mobility positions that reflect the trainee's responsibilities, participate fully in developing and monitoring the trainee's Individual Development Plan, and evaluate the trainee's progress on a quarterly basis.

References

230 FW 3—Upward Mobility; 370 DM 380 and Appendix 1; OPM Qualification Standards Handbook (formerly X-118)

UPWARD MOBILITY TRAINING AGREEMENT (UMTA)

CONTACT

For more information on hiring an upward mobility trainee, contact your Personnel Office. For information on developing appropriate training for a UMTA, contact your Regional Training Coordinator.

TRAINING RESOURCES

Purpose

Once you have determined that there is a need for training and/or development, you must identify a source for the required training. The following information will help you to find the appropriate training, either for employees you supervise or for your own training and development.

Supervisor's Role

Since you are expected to initiate an SF-182, you must be aware of the possible choices for training sources. In addition to the sources listed here, your own supervisor may be a valuable source of information on available Government and non-Government training programs.

Government Sources of Training

National Conservation Training Center (NCTC)

NCTC offers residential as well as off-site training, and is a leader in providing training and education services to FWS and the natural resource management community. An annual catalog provides a general description of the courses available and a quarterly schedule lists specific dates and locations. The catalog and quarterly schedule are available on the Web (www.fws.gov/r9nctc/nctc.html).

continued...

TRAINING RESOURCES

Federal Law Enforcement Training Center (FLETC)

FLETC offers law enforcement training for special agents, wildlife inspectors, and refuge officers, as well as collateral duty law enforcement officers. A description of these courses can be found in the NCTC catalog. For more information on FLETC courses contact Law Enforcement, Branch of Training and Inspection, Glynco, GA, 912/ 267-2370. For information on refuge officer training, contact NCTC, Division of Training, 304/ 876- 7435. For general information about FLETC, check their website at www.treas.gov/fletc.

Arthur Carhart National Wilderness Training Center

The Carhart Center provides a variety of training on the management, restoration, and public use of wilderness areas. For more information on the Carhart Center, check their website at www.wilderness.net/carhart/

Midcontinent Ecological Services Center (MESC)

The U.S.G.S. Biological Resources Division, through the MESC, offers a special selection of natural resource management courses through on-site training and correspondence/independent study. The courses are broken down into two categories: Habitat Evaluation Procedures (HEP) and Instream Flow Incremental Methodology (IFIM) courses. A description of the course content and prerequisite requirements

continued...

TRAINING RESOURCES

can be found in the NCTC catalog. For more information on HEP courses, call 970/ 226-9421. For more information on IFIM courses, call 303/ 236-4932. For general information about the MESC, check their website at www.mesc.usgs.gov

Graduate School, USDA

The Graduate School conducts a variety of clerical, professional, managerial, and technical training courses throughout the country. The Graduate School catalog contains specific information on course availability and registration procedures. The Graduate School's National Independent Study Center (NISC) offers a variety of topics presented in a self-study format. For general information call toll-free at (888) 744-GRAD or check their website at <http://grad.usda.gov>

Office of Personnel Management, Management Development Centers (MDC)

The MDCs offer a variety of programs specifically with the needs of career Government leaders in mind. Each program provides an opportunity for executives, managers and supervisors to improve their performance in one or more critical areas of leadership, management and policy implementation. MDC Training is open to GS-11s through SES. For more information call the Division of Training, NCTC, 304/ 876-7472 or check out OPM's website at www.opm.gov/mdc/index.htm

continued...

TRAINING RESOURCES

Non-Government Sources of Training

Non-Government sources of training can range from private companies to local community colleges and universities.

Other Training Options

There are a number of additional options for training available to you. These include on-the-job training by you, another supervisor, or another employee; a mentoring arrangement with an experienced employee; developmental assignments or details to other offices; work outside of FWS; technical or professional conferences; memberships in professional organizations; and professional books, journals, or other periodicals.

TRAINING REFERENCES

There are many references available . . . to assist you with the planning, implementation, and evaluation of training. In addition to the materials listed below, you can contact your Regional Training Coordinator, your Personnel Office, or the Division of Training, NCTC.

5 USC 41 (Training) available at www.law.cornell.edu/uscode/5/ch41.html

5 CFR part 410 (Training)

5 CFR part 412 (Executive, Management and Supervisory Development)

CFR available at www.access.gpo.gov:80/nara/cfr/cfr-table-search.html

OPM Training Handbook at www.opm.gov/hrd/lead/handbook

230 FW—Employee Development, 231 FW—Training Management, 232 FW—Training Operations
FWS Continuous Learning Policy, Director’s Memo, 2/20/98

NCTC Catalog of Training (annual edition) and Quarterly Course Schedule Update

Analyzing Performance Problems or “You Really Oughta Wanna,” Robert F. Mager and Peter Pipe,
Fearon Publishers/Lear Siegler, Inc., Education Division, 1970

9. EMPLOYEE ASSISTANCE

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EMPLOYEE ASSISTANCE PROGRAM (EAP)

Purpose

At one time or another, employees experience personal problems that may interfere with work performance, attendance, and/or conduct, which lowers productivity and workforce morale. The Employee Assistance Program (EAP) is a voluntary, confidential program which provides access to professional counselors who can help troubled employees return to normal work productivity and/or acceptable levels of conduct.

Supervisor's Role

As a supervisor, you should become involved when an employee's problem becomes severe enough to affect his/her work performance and/or conduct. You play a critical role in early detection of developing problems by observing and documenting deficient performance and unacceptable conduct and referring the employee to the EAP when you recognize a pattern of deterioration. You are not required, nor is it appropriate for you, to make a diagnosis of an employee's problem. Your most significant contribution is to recognize the indicators of developing problems and then encourage the employee to seek assistance through the EAP. Additionally, you must refer employees to the EAP when employees are found to be using illegal drugs.

References

5 CFR part 792; 227 FW 4—Employee Assistance Programs

EMPLOYEE ASSISTANCE PROGRAM (EAP)

CONTACT

For more information on the EAP, contact your Servicing Personnel Office's EAP coordinator.

EAP SERVICES

The EAP can provide employees with . . . help for a number of problems, including financial hardship, difficult marital/family relationships, stress-related issues, alcohol or drug dependency/abuse, depression, grief, legal concerns, elder care issues, or medical/emotional issues.

EAP Services

The EAP is a program designed to recognize instances in which employees' poor performance, attendance, or behavior is due, at least in part, to their failure to cope with a personal problem; offer assistance to employees in identifying the problem; and provide for confidential and professional counseling for employees with personal problems that affect their everyday lives and/or conduct or performance on the job. Following are the primary services offered to employees by the EAP:

- Short-term counseling and problem assessment by an EAP provider at no cost to employees;
- Referral for extended treatment and rehabilitation, if necessary, to an appropriate community service or professional resource. Long-term treatment/rehabilitation at Government expense is prohibited; however, careful consideration will be given to employees' health insurance during the referral process in an effort to minimize the costs of treatment/rehabilitation for employees; and
- Follow-up during period of treatment/rehabilitation to aid employees in achieving an effective and successful readjustment to the job both during and after treatment.

Supervisor's Role in the EAP

When employees fail to successfully meet established performance and/or conduct standards, supervisors have both the responsibility and the authority to confront employees with the deficiencies and to provide them with an opportunity to correct the problems. Additionally, it is also the responsibility of supervisors to refer employees to seek assistance through the EAP with any personal problem that might be adversely affecting job performance and/or conduct. Following is guidance for adhering to these responsibilities. It is the responsibility of every supervisor to:

- Be alert, through continuing observation, to changes in work or behavior, or both, of subordinate employees. Supervisors are in close contact with employees in their work situations and, therefore, will ordinarily be the first to note work or behavioral problems that interfere with satisfactory performance.
- Document specific instances when employees' work performance, behavior, or attendance fails to meet established standards or appears to be deteriorating.

continued...

EAP SERVICES

- Conduct counseling sessions with employees primarily to discuss specific areas of performance/conduct problems. In the course of such counseling, encourage employees to seek assistance through the EAP if they believe the conduct/performance problems have been triggered by personal problems. Supervisors can have the greatest impact on motivation of employees toward self-assistance. Such counseling should include a contact for the EAP (generally the EAP Administrator for Washington Office employees or the appropriate Regional EAP Coordinator) and a statement that failure to correct performance/conduct deficiencies may lead to corrective personnel actions. Should supervisors suspect a specific employee problem, they must avoid making a diagnosis, e.g., “alcoholic” or “drug abuser,” as this is a decision to be made only by a professionally trained individual of the EAP. Offers of referrals to the EAP shall be documented in writing for future reference should employee misconduct/unsatisfactory performance continue and necessitate corrective personnel action.
- If employee performance/conduct problems do not improve to an acceptable level after seeking assistance from the EAP or if no EAP assistance has been sought, supervisors should initiate appropriate corrective personnel actions against employees.

continued...

EAP SERVICES

The Departmental Drug Testing Procedures require that employees found to be using illegal drugs be referred to the EAP for assessment, counseling, and referral for treatment or rehabilitation, as appropriate. Should employees refuse to obtain counseling or rehabilitation through the EAP after having been found to use illegal drugs, supervisors should initiate action to remove employees from the Federal service. Supervisors should consult with the employees' Servicing Personnel Office for technical assistance regarding mandatory EAP referral and possible corrective personnel action.

Education

The EAP can provide you and your employees with educational services, including programs and services on stress management, managing different types of people, coping with change, weight management, assertiveness skills, etc. The EAP also distributes a monthly newsletter for all employees.

Training

The EAP provides training to all supervisors on how to use the program as a management tool. An orientation that explains the purpose of the program and how to use it is also provided to new employees.

RECOGNIZING EMPLOYEE PROBLEMS

Employees may experience a number of different personal problems . . . all of which may affect performance or conduct. Examples of such problems are financial difficulties, troubled marital/family relationships, stress-related issues, alcohol or drug dependency/abuse, depression, grief, legal concerns, elder or child care issues, and/or medical/emotional issues. Listed below are some warning signs that an employee may be experiencing a problem.

Behavior

- Physical or verbal threats or assault
- Inability to cooperate with others
- Disrespectful or insubordinate conduct
- Sleeping on the job
- Falsification of reports, time records, etc.
- Using/possessing alcohol or drugs at work
- Frequent work-related injuries
- Change in character, attitude, or appearance
- Isolation/withdrawal from co-workers
- Increased physical complaints/health problems
- Theft or misuse of Government property

Attendance

- Tardiness
- Extended lunch breaks
- Patterns of absenteeism (Mondays, Fridays, etc.)
- Absences from the work site
- Frequent unscheduled leave

Performance

- Missing deadlines or needing excessive time for assignments
- Inconsistent work quality
- Work quality below supervisory expectations or peer average
- Difficulty in following instructions, procedures, etc.
- Forgetfulness, absent-mindedness, and difficulty in concentration

EAP REFERRALS

Employees may seek assistance from the EAP . . . on their own without you ever knowing that contact has been made. Although employees are encouraged to take advantage of the program on their own, you may find it necessary to seek the services of the EAP when an employee exhibits deteriorating performance and/or conduct. If this occurs, a referral to the EAP is encouraged. It is not, however, mandatory that employees participate in the EAP after having been referred.

There are primarily three types of referrals to the EAP.

Supervisory Referral. A supervisor refers an employee to the EAP usually because of a deterioration in job performance or conduct.

Self-referral. An employee voluntarily requests assistance from the EAP at any time to obtain help for a personal problem.

Mandatory Referral. An employee who tests positive for illegal drug use is referred to the EAP for treatment and/or rehabilitation.

continued...

EAP REFERRALS

A referral for help through the EAP may also be made by a personnelist or an equal employment opportunity counselor.

Employees should be allowed up to 1 hour (or more as necessitated by travel time) of excused absence for each counseling session, up to a maximum of six sessions, during the initial counseling/assessment phase of a Service-sponsored EAP program. Absences during duty hours for extended treatment or rehabilitation must be charged to annual or sick leave or leave without pay, as appropriate.

10. ETHICS AND INTEGRITY

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GENERAL ETHICS

Purpose

Public service is a public trust, and each Federal employee has a responsibility to the United States Government and its citizens to place loyalty to the Constitution, laws, and ethical principles above private gain. To ensure that every citizen can have complete confidence in the integrity of the Federal Government, each employee must respect and adhere to the fundamental principles of ethical standards.

Supervisor's Role

As a supervisor, you are responsible for modeling ethical behavior and providing advice and guidance to employees regarding ethics. This is to ensure compliance with the regulations outlined in the Standards of Ethical Conduct for Employees of the Executive Branch and the DOI Supplemental Standards of Ethical Conduct.

References

Executive Order 12674; 5 CFR part 2635; 5 CFR part 3501

CONTACT

For more information on ethics in general, contact your Servicing Ethics Counselor.

GIFTS FROM OUTSIDE SOURCES

Purpose

At various times during the year, employees may be given gifts from a number of sources, both inside and outside the Government. Sometimes these gifts are acceptable, while at other times they are not. Employees are to determine whether or not a gift is acceptable and may need to discuss the matter with their supervisor.

Supervisor's Role

Employees may request advice in determining if a gift is acceptable or not, and you should be familiar with the Standards of Conduct in order to provide the proper guidance. You have only one specific responsibility regarding gifts from outside sources. If an employee receives a gift that he/she may not accept and the gift is perishable, it is your responsibility to determine how the gift will be disposed of—either given to an appropriate charity, shared with the office, or destroyed.

References

5 CFR part 2635, subpart B

CONTACT

For more information on outside gifts, contact your Servicing Ethics Counselor.

GIFTS FROM OUTSIDE SOURCES

General Standards . . . of ethical conduct prohibit an employee from soliciting or accepting, directly or indirectly, a gift:

- From a prohibited source (see definition below), or
- Given because of the employee's official position.

A Prohibited Source . . . is:

- A person seeking official action by the Service,
- A person doing business or seeking to do business with the Service,
- A person who conducts activities regulated by the Service,
- A person having interests that may be substantially affected by performance or nonperformance of the employee's official duties, or
- An organization, a majority whose members are described as any of the four sources above.

Since there are a number of provisions as well as exceptions to the policy on accepting gifts from outside sources, you should always check the Standards of Conduct or consult with your Servicing Ethics Counselor if you have any questions.

GIFTS BETWEEN EMPLOYEES

Purpose

Employees often wish to give a gift to their supervisor or other employees on special occasions. In general, it is not acceptable to give a gift to a supervisor or another employee who receives higher pay. For the general standards, see the box in this entry.

Supervisor's Role

As a supervisor, it is your responsibility to know when it is permissible for you to accept a gift from a subordinate. You are obligated to follow the rules stated in the Standards of Conduct.

References

5 CFR part 2635, subpart C

CONTACT

For more information on gifts between employees, contact your Servicing Ethics Counselor.

GIFTS BETWEEN EMPLOYEES

General Standards . . . of ethical conduct prohibit employees from giving gifts to their supervisors. Unless provided for as an exception to the Standards of Conduct, an employee may not:

- Directly or indirectly, give a gift to or make a donation toward a gift for an official superior, or
- Solicit a contribution from another employee for a gift to either his own or the other employee's official superior.

Since there are a number of provisions as well as exceptions to the policy on gifts between employees, you should always check the Standards of Conduct.

CONFLICTING FINANCIAL INTERESTS

Purpose

At times employees will acquire financial interests that are prohibited by regulations. Employees are not allowed, in accordance with the Standards of Conduct, to participate in matters which would place them in a situation of conflicting financial interest.

Supervisor's Role

You play a pivotal role in conflicting financial interest situations. Though an employee must inform you of any potential conflict of interest, it is your responsibility to ensure that your employees are not given an assignment which would place them in a position to violate the Standards of Conduct or 18 USC 208, which is a criminal statute.

References

5 CFR part 2635, subpart D; 5 CFR part 3501; 18 USC 208

CONTACT

For more information on conflicting financial interests, contact your Servicing Ethics Counselor.

CONFLICTING FINANCIAL INTERESTS

Statutory prohibition . . . prevents employees, by criminal statute, 18 USC 208(a), from participating personally and substantially in an official capacity in any particular matter in which, to their knowledge, they or any person whose interests are imputed to them under this statute has a financial interest, if the particular matter will have a direct and predictable effect on that interest.

IMPARTIALITY IN PERFORMING OFFICIAL DUTIES

Purpose

Sometimes employees are requested to participate in an assignment which they know is likely to affect the financial interest of a member of their household or a person with whom they have a covered relationship. If an employee determines that a reasonable person with all of the relevant facts would question his/her impartiality, the employee should use the process described in the Standards of Conduct to determine whether or not to participate.

Supervisor's Role

If an employee requests assistance, you should assist him/her in determining whether a reasonable person with all the relevant facts would question his/her impartiality in performing an assignment related to a personal or business relationship. Based upon the determination, you must ensure that all measures are taken by providing written analysis to the Agency designee(s), requesting a waiver, or disqualifying the employee from participating in the specific matter.

References

5 CFR part 2635, subpart E

CONTACT

For more information on impartiality, contact your Servicing Ethics Counselor.

IMPARTIALITY IN PERFORMING OFFICIAL DUTIES

Covered relationships are . . . relationships between the employee and:

- A person, other than a prospective employer described in 5 CFR part 2635.603(c), with whom the employee has or seeks a business, contractual or other financial relationship that involves other than a routine consumer transaction;
- A person who is a member of the employee's household, or who is a relative with whom the employee has a close personal relationship;
- A person for whom the employee's spouse, parent, or dependent child is, to the employee's knowledge, serving or seeking to serve as an officer, director, trustee, general partner, agent, attorney, consultant, contractor, or employee;
- Any person for whom the employee has, within the last year, served as an officer, director, trustee, general partner, agent, attorney, consultant, contractor or employee, or
- An organization, other than a political party described in 26 USC 527(e), in which the employee is an active participant.

IMPARTIALITY IN PERFORMING OFFICIAL DUTIES

When evaluating situations involving personal and business relationships . . .
the following factors should be taken into consideration:

- 1) The nature of the relationship involved;
- 2) The effect that resolution of the matter would have upon the financial interests of the person involved in the relationship;
- 3) The nature and importance of the employee's role in the matter, including the extent to which the employee is called upon to exercise discretion in the matter;
- 4) The sensitivity of the matter;
- 5) The difficulty of reassigning the matter to another employee; and
- 6) Adjustments that may be made in the employee's duties that would reduce or eliminate the likelihood that a reasonable person would question the employee's impartiality.

SEEKING OTHER EMPLOYMENT

Purpose

At any given time, employees may consider negotiating for non-Federal employment. To avoid potential conflicts of interest or appearances of conflict, employees are required to follow the guidelines found in the Standards of Conduct.

Supervisor's Role

Employees must make you aware of a potential conflict of interest situation if they are seeking other employment. As a supervisor it is your role to ensure that employees who negotiate for prospective employment are not assigned work that may directly affect the prospective employer. If all conditions in the regulations are met for a waiver, you should work with the employee to ensure that all necessary approvals are received.

References

5 CFR part 2635, subpart F; 18 USC 208

CONTACT

For more information on seeking other employment, contact your Servicing Ethics Counselor.

SEEKING OTHER EMPLOYMENT

If you are seeking a waiver . . . you should consult the Standards of Conduct. There are a number of types of waivers and many inclusions and exclusions. An ethics counselor can give you guidance and assistance, and will provide you with the standard waiver letter format.

MISUSE OF POSITION

Purpose

All employees are required to adhere to the ethical standards that relate to the use of public office for private gain, the use of non-public information, the use of Government property, and the use of official time. If a breach of any of these occurs, disciplinary action must be taken.

Supervisor's Role

As a supervisor, your role is three-fold. You may not misuse Government resources or information yourself, you may not ask an employee to misuse Government resources or property, and you must report all occurrences of misuse of Government resources or information among your employees.

References

5 CFR part 2635, subpart G

CONTACT

For more information on misuse of position, contact your Servicing Ethics Counselor.

MISUSE OF POSITION

If misuse of position occurs . . . you must report it. Misuse of position may fall into any of these four categories:

- Use of public office for private gain
- Use of non-public information
- Use of Government property
- Use of official time

To ensure proper handling of these violations, work with your Servicing Personnel Office to administer disciplinary or conduct-based actions.

EMPLOYEE OUTSIDE ACTIVITIES

Purpose

Employees are often involved in employment outside of their official position. Some outside employment may create a conflict of interest, so employees are required to seek approval if they plan to work for a prohibited source on their own time.

Supervisor's Role

Employees are required to bring all outside employment to the attention of their supervisor. As a supervisor you should monitor your employees to ensure that there are no violations of the regulations.

References

5 CFR part 2635, subpart H; 5 CFR part 3501

CONTACT

For more information on employee outside activities, contact your Servicing Ethics Counselor.

USE OF GOVERNMENT PROPERTY

Purpose

All employees have the responsibility to protect and conserve Government property. They may not use it or allow its use for any purposes other than those that are job-related. Applicable property includes but is not limited to computers, motor vehicles, office supplies, telephones, fax machines, laboratory equipment, etc.

Supervisor's Role

As a supervisor, you have a primary responsibility to ensure that Government property is used only for official Government purposes. If a breach occurs, you must either take disciplinary actions (see *Disciplinary Actions* in this section, or *Conduct-Based Actions* in the Performance and Conduct section) or, depending on the severity of the breach, the issue may need to be referred to the Inspector General.

References

5 CFR part 2635, subpart G; 310 FW 1 through 3—Personal Property Management

CONTACT

For more information on use of Government property, contact your Servicing Ethics Counselor.

DISCIPLINARY ACTIONS

Purpose

A violation of the Standards of Conduct requires disciplinary action based on the violation severity, the type of misconduct, and the penalties issued for similar instances.

Supervisor's Role

You are responsible for recommending and taking disciplinary action when breaches of the Standards of Conduct occur. The type of disciplinary action must be determined in relation to the specific violation, and your Servicing Personnel Specialist is the best person to assist you.

References

For more information on conduct-based actions, see *Conduct-Based Actions* in the Performance and Conduct section of this Guide

CONTACT

For more information on disciplinary actions, contact your Servicing Personnel Office.

DISCIPLINARY ACTIONS

Violations or breaches of the Standards of Conduct . . . that result in disciplinary action of an administrative nature include, but are not limited to:

- Misuse of a Government vehicle
- Misuse of official time, equipment, or supplies
- Fraudulent use of overtime
- Falsifying travel orders or vouchers
- Making harassing and/or obscene telephone calls

CONFIDENTIAL FINANCIAL DISCLOSURE REPORTS

Purpose

Certain employees in grades GS-15 and below are required to report their financial holdings to avoid instances of conflict of interest. This is to ensure that the Service is in compliance with the rules established by the Office of Government Ethics (OGE). Designated employees must file a form OGE-450, “Confidential Financial Disclosure Report.”

Supervisor's Role

When you are informed that one or more of your employees must fill out the OGE-450, you must ensure that they do so. The OGE-450 is confidential, so you may not review this form. Employees can return the form directly to the appropriate Ethics Counselor.

References

5 CFR part 2634, subpart I

CONTACT

For more information on reporting requirements on financial disclosure, contact your Servicing Ethics Counselor.

PUBLIC FINANCIAL DISCLOSURE REPORTS

Purpose

Federal laws and regulations require Senior Executive Service, Schedule C employees, and above to annually report their financial holdings on form SF-278, “Public Financial Disclosure Report.” These laws and regulations require that these senior-level officials make available for public disclosure their personal financial interests, to ensure confidence in the integrity of the Federal Government.

Supervisor’s Role

Supervisors must ensure that their employees in these categories file the SF-278 annually. Supervisors are not required to review or sign the reports. The filers should send their reports directly to the appropriate Ethics Counselor, unless instructed to file elsewhere.

References

Title I of the Ethics in Government Act of 1978; 5 CFR part 2634

CONTACT

For more information on reporting requirements or financial disclosure, contact your Servicing Ethics Counselor.

Employees required to file the SF-278 . . . must do so within 30 days of entering a position, no later than May 15 annually, and within 30 days of termination from employment. The following employees must file the SF-278:

- Employees whose positions are classified above GS-15, including all SES employees; and
- Schedule C employees.

FEDERAL MANAGERS' FINANCIAL INTEGRITY ACT

Purpose

The Federal Managers' Financial Integrity Act of 1982 (Public Law 97-255) requires executive agencies to establish and evaluate internal accounting and administrative controls to ensure that: obligations and costs are in compliance with applicable law; funds, property, and other assets are safeguarded against waste, loss, unauthorized use, or misappropriation; and revenues and expenditures are properly recorded and accounted for to permit the preparation of accounts and reliable financial and statistical reports and to maintain accountability over assets. Office of Management and Budget Circular A-123 implements the Act. The term “management controls” is used to describe the checks and balances agencies should have in place to assure that FMFIA objectives are met.

Supervisor's Role

As a supervisor, you have a unique role in making sure your management controls are adequate and effective. You and your staff are responsible for assessing management controls through continuous monitoring and periodic evaluations. Continuous monitoring includes examining the adequacy of controls in the course of daily program operations. Periodic evaluations can be management control reviews, program evaluations, audits, and similar formal reviews.

FEDERAL MANAGERS' FINANCIAL INTEGRITY ACT

References

Management Accountability and Control, OMB Circular No. A-123 (revised June 21, 1995); FWS General Annual Guidelines for the Management Control Program

CONTACT

For more information on FMFIA, contact your Regional/Washington Office Management Control Coordinator.

FEDERAL MANAGERS' FINANCIAL INTEGRITY ACT

Management controls are . . . the organization, policies, and procedures used by agencies to reasonably ensure that:

- programs achieve their intended results;
- resources are used consistent with agency mission;
- programs and resources are protected from waste, fraud, and mismanagement;
- laws and regulations are followed; and
- reliable and timely information is obtained, maintained, reported and used for decision making.

Agency managers should incorporate basic management controls into their day-to-day operations, and into their strategies, plans, guidance, and operations. Controls should be consistent with the following standards, which are drawn in large part from the “Standards for Internal Control in the Federal Government,” issued by the U.S. General Accounting Office (GAO), and also are summarized in OMB Circular A-123, “Management Accountability and Control.”

continued...

FEDERAL MANAGERS' FINANCIAL INTEGRITY ACT

1. General Management Control Standards are:

Compliance with Law

All program operations, obligations, and costs must comply with applicable law and regulation.

Reasonable Assurance and Safeguards

Management controls must provide reasonable assurance that assets are safeguarded against waste, loss, unauthorized use, and misappropriation. Management controls developed for agency programs should be logical, applicable, reasonably complete, and effective and efficient in accomplishing management objectives.

Integrity, Competence, and Attitude

Managers and employees must have personal integrity and are obligated to support the agency's ethics program. The spirit of the Standards of Ethical Conduct requires that they develop and implement effective management controls and maintain a level of competence that allows them to accomplish their assigned duties. Effective communication within and between offices should be encouraged.

continued...

FEDERAL MANAGERS' FINANCIAL INTEGRITY ACT

2. Specific Management Control Standards are:

Delegation of Authority and Organization

Managers should ensure that appropriate authority, responsibility, and accountability are defined and delegated to accomplish the mission of the organization, and that an appropriate organizational structure is established to effectively carry out program responsibilities. To the extent possible, controls and related decision making authority should be in the hands of the line managers and staff.

Separation of Duties and Supervision

Key duties and responsibilities in authorizing, processing, recording, and reviewing official agency transactions should be separated among individuals. Managers should exercise appropriate oversight to ensure that individuals do not exceed or abuse their assigned authorities.

Access to and Accountability for Resources

Access to resources and records should be limited to authorized individuals, and accountability for the custody and use of resources should be assigned and maintained.

continued...

FEDERAL MANAGERS' FINANCIAL INTEGRITY ACT

Recording and Documentation

Transactions should be promptly recorded, properly classified, and accounted for in order to prepare timely accounts and reliable financial and other reports. Management controls, and other significant events must be clear and readily available for examination.

Resolution of Audit Findings and Other Deficiencies

Managers should promptly evaluate and determine proper actions in response to known deficiencies, reported audit and other findings, and related recommendations. Managers should complete, within established timeframes, all actions that correct or otherwise resolve the appropriate matters brought to management's attention.

continued...

FEDERAL MANAGERS' FINANCIAL INTEGRITY ACT

Management has primary responsibility for monitoring and assessing controls, and should use other sources as a supplement to—not a replacement for—its own judgement. Sources of information include:

- management knowledge gained from daily operations
- Office of Inspector General and GAO reports
- Audits of Financial Statements—Chief Financial Officers Act of 1990 (CFO Act)
- Reviews of Financial Systems—OMB Circular A-127
- Reviews of Information Systems—OMB Circular A-130
- Annual Performance Plans and Reports—Government Performance and Results Act; and
- other reviews and reports relating to agency operations.

11. GRIEVANCES

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Administrative Grievances

11-1

Negotiated Agreement Grievances

11-5

ADMINISTRATIVE GRIEVANCES

Purpose

All Federal agencies are required by law to establish grievance procedures or process for resolving workplace employment disputes for all employees not covered by a labor union agreement.

Supervisor's Role

If you receive a grievance, you should ensure that you are the appropriate official to answer the grievance; that the grievance is timely; and that the grievance clearly describes the issue(s) and the remedy(ies) sought. If the grievance is filed to seek review of an action that you took, you must respond to the grievance in a timely manner. See “If a grievance is filed . . .” on the following page for more information.

References

5 CFR part 771.101; 227 FW 3—Grievance Procedures; 370 DM 771.3

CONTACT

For more information on administrative grievances, contact your Servicing Personnel Office.

ADMINISTRATIVE GRIEVANCES

Grievance rights and procedures . . . ensure an objective review of employees' complaints. Employees who feel they have been unfairly treated have the right to present their written grievances for consideration and decision. Employees may file grievances on their own behalf, and can be advised by and/or represented by a representative of their own choosing.

If a grievance is filed . . . to seek review of an action that you took, the following guidelines should be followed:

An employee desiring consideration of a grievance must first seek informal resolution of the matter through supervisory channels. A request for informal resolution of a grievance should be within 15 days after the incident from which the dispute arose or 15 days from the date the employee became aware of the matter giving rise to the grievance. The initial presentation will normally be made to the first-level supervisor. The employee must be given a written decision within 7 days after the date of the presentation of the grievance. The written decision will contain the reasons and rationale on which the decision is based, and will inform the employee of the right to present the grievance under the formal procedure if dissatisfied with the decision under the informal process. The employee will also be referred to the Servicing Personnel Office for technical assistance concerning the formal grievance procedures. A grievance cannot be rejected for any reason under the informal process.

continued...

ADMINISTRATIVE GRIEVANCES

Formal grievance procedures

An employee's formal grievance will be filed with the Servicing Personnel Office. The formal grievance must be in writing and contain sufficient detail to identify and clarify the basis for the grievance. The Servicing Personnel Office will make a technical review of the grievance and, within 7 days, will take action to accept or reject the grievance. If the grievance is accepted, the Servicing Personnel Office will determine the appropriate deciding official. The deciding official will issue a written decision within 20 days after receipt of the grievance file. The decision must inform the employee of the right to have the grievance reviewed by a personnel appeals examiner in the Office of Hearings and Appeals (OHA) if the employee is not satisfied with the decision.

An employee can also request review by a personnel appeals examiner in OHA if, within 20 days after receipt of the grievance file, the deciding official has not rendered a decision. In this instance, a request for review by an examiner will be made directly to the Chief Personnel Appeals Examiner, OHA, by the employee.

NEGOTIATED AGREEMENT GRIEVANCES

Purpose

Negotiated agreement grievances are complaints from employees who work under a union-management agreement. These grievances concern conditions of employment or allegations of violations or incorrect interpretations of a labor agreement. There are specific requirements and procedures for filing grievances, and these differ throughout each negotiated contract.

Supervisor's Role

If you are presented with a grievance, you must adhere to the specifications of the negotiated contract. In general, you must acknowledge, investigate, and respond to the grievance. You should also immediately contact your Servicing Personnel Office to obtain information on procedures and covered and exempt issues.

References

The appropriate grievance procedure within your negotiated contract

CONTACT

For more information on negotiated contract grievances, contact your Servicing Personnel Office.

Negotiated contract grievances are . . . complaints in the following categories:

- 1) By an employee regarding his/her personal employment issues;
- 2) By a union regarding an employee's employment issues; or
- 3) By an employee, union, or agency management claiming that:
 - a) The labor agreement has not been correctly interpreted or has been violated; or
 - b) A law, rule, or regulation affecting conditions of employment has been violated or that an error in interpretation or application of a law, rule, or regulation has occurred.

NEGOTIATED AGREEMENT GRIEVANCES

If you receive a grievance . . . you should:

- 1) ***Acknowledge the grievance.*** This will begin the time frame in which you must act.
- 2) ***Check over the grievance.*** You should make certain that the grievance is filed in accordance with your contract's procedural requirements (ensure that the grievance is filed within time limits specified and has been referred to the proper levels of management as required).
- 3) ***Investigate the grievance.*** You must determine whether the facts asserted by the grievance are accurate and complete, or whether additional information must be obtained (by meeting with other employees or supervisors and/or collecting documents or other evidence). You should also review the provisions of the labor agreement and any existing practices related to the issue to determine how they have been applied to similar situations in the past.
- 4) ***Respond to the grievance.*** You should develop a written rationale for your decision. Your grievance response must adhere to the procedural requirements in the labor agreement, and you should make your best effort to interpret and apply contract provisions fairly and accurately.

If your response to the grievance is not satisfactory . . . to the employee or union, the grievance may be taken to binding arbitration. Binding arbitration is the resolution of a dispute by an impartial individual called an arbitrator. The decision made by the arbitrator is binding to both parties, and arbitration can be requested only by the union or Service management. An individual may not request arbitration. The decision of an arbitrator may be appealed to the Federal Labor Relations Authority (FLRA) on certain limited grounds.

12. LABOR-MANAGEMENT RELATIONS

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LABOR-MANAGEMENT RELATIONS OVERVIEW

Purpose

The Service encourages all of its supervisors and management officials to be fully familiar with the law and Service policy on Labor-Management Relations, whether or not they are currently involved in the day-to-day administration of a negotiated collective bargaining agreement.

Supervisor's Role

You should be familiar with the rights of employees, management, and any labor organization when dealing with personnel policies, practices, and conditions of employment in a work situation in which a union is attempting to organize or has achieved exclusive recognition for your employees. You must ensure that all personnel actions under your control are initiated and effected without prejudice, that is, irrespective of any participation or lack of participation by employees subject to your authority in labor-management activities.

References

370 DM 711; 227 FW 1—Labor-Management Relations; 5 USC 5596, Chapter 71, Labor-Management Relations; Title VII, Federal Service Labor-Management Relations (of the Civil Service Reform Act of 1978); 5 CFR part 2411

CONTACT

For more information about Labor-Management Relations, contact your Servicing Personnel Office.

FLMRS OVERVIEW

Overview of the Fundamentals of Labor-Management Relations under the Federal Labor-Management Relations Statute (FLMRS)

- The basic stages of Labor-Management relations:
 - ***The organizing stage:*** when a union petitions for an election to obtain the exclusive right to represent the employees;
 - ***The negotiation stage:*** when Service and union representatives, known as “the parties,” work to achieve a collective bargaining agreement (contract) governing conditions of employment; and
 - ***The agreement administration stage:*** when the parties apply the agreed-upon conditions of employment to the employees covered

BASIC TENETS OF THE LAW

The Federal Labor-Management Organization

Following is a description of the organization of the Federal Labor-Management Relations Program, as it was established by the Civil Service Reform Act (CSRA) of 1978.

- ***Federal Labor Relations Authority (FLRA)***

An independent Federal organization consisting of three members and a General Counsel, appointed by the President and confirmed by the Senate, which administers the Labor-Management Relations (LMR) program to meet the special requirements and needs of the Federal sector.

Among the powers and responsibilities of the FLRA are:

- To determine “appropriate units” for unionization;
- To supervise or conduct representation elections;
- To conduct hearings and resolve complaints of “unfair labor practices”;
- To resolve exceptions to arbitrators’ awards; and
- To administer the provisions of the Federal Service Labor-Management Relations Statute.

BASIC TENETS OF THE LAW

- *Federal Services Impasses Panel (FSIP)*

The FSIP is an entity within the FLRA whose function is to assist in resolving impasses in negotiations between the parties to a collective bargaining agreement. The FSIP has authority to direct the parties to accept specific contract language or to direct that a specific negotiation proposal be withdrawn.

The procedures for resolving impasses include:

- ~~M ediation (voluntary on the part of the parties);~~
- ~~Fact-finding with recommendations (which the parties may or may not be willing to accept in resolution of the impasse); or~~
- ~~Arbitration (whereby the FSIP holds hearings, administers oaths, takes testimony or depositions, and issues a decision on the issue which is binding upon the parties for the term of the agreement).~~

BASIC TENETS OF THE LAW

- *Federal Mediation and Conciliation Service (FMCS)*

The FMCS is an independent Federal agency that provides services and assistance to other Federal agencies and to unions in resolving negotiation impasses.

The FMCS does not have the authority to “resolve” impasses, as does the FSIP; its function is to assist the parties to reach agreement.

THE ORGANIZING STAGE

The Organizing Stage begins when a union seeks to represent the employees in all or part of an agency, thereby requesting a **“unit of recognition”** (also known as **“bargaining unit”** or **“appropriate unit”**).

The union’s first task is to evaluate the employees it seeks to represent and their jobs to establish that a “community of interest” exists among the employees. This “community of interest” may be based upon several different things, such as similar jobs, the same personnel servicing, the same work location, or other “common interest” factors shared among the employees.

The union will then circulate a questionnaire among employees to determine their interest in being represented by the union. Any union seeking to represent employees must get a 30% interest showing of the total number of employees in the bargaining unit it seeks to represent in order to have an election.

During the organizing period, you, as a supervisor, must remain absolutely neutral, both on and off the job, with regard to the question of union representation. In general, employees may engage in organizing activities during non-duty time and in non-work areas. As a supervisor, you should check with your Servicing Personnel Office to verify employee rights and management rights with regard to labor-management organizing activities, and conduct yourself accordingly.

THE ORGANIZING STAGE

After a labor organization has obtained the required 30% interest showing, it will submit a petition to the FLRA seeking to represent the employees in a specified bargaining unit.

The FLRA will examine the petition and the accompanying questionnaires and determine the “appropriateness” of the requested bargaining unit.

If the FLRA finds that all pertinent requirements have been met, it will authorize a secret ballot election. The FLRA may either conduct the election or supervise its conduct to verify its validity and legality.

The outcome of such an election is based solely upon the “majority of valid votes cast” by eligible employees.

The preelection and election period can be challenging to management, and particularly to supervisors who deal directly with the employees, because of the requirement for management to remain absolutely neutral on questions of union representation.

THE ORGANIZING STAGE

There are some positive things that management can do, rather than simply being passive. For example, management can:

- Publicize the election and encourage all employees to vote;
- Correct false or misleading statements related to the election; and
- Inform employees regarding Service Labor-Management Relations policy and advise employees of their rights, but not how to exercise those rights.

A supervisor should not in any way encourage an employee to take part in union activity or discourage an employee from doing so. A supervisor should consult with his/her labor relations specialist before making statements to employees regarding union organizing or union activities.

A union that receives a majority of the votes cast in an election is certified by the FLRA as the exclusive representative of the employees of the bargaining unit.

THE NEGOTIATION STAGE

After a union gains exclusive recognition, it usually soon wishes to negotiate an agreement covering the employees it represents.

Agency and union representatives will meet to negotiate in good faith a collective bargaining agreement, which is binding upon both parties. The negotiated agreement basically will set forth the actions, rights, and responsibilities of both parties with regard to personnel policies, practices, and matters affecting working conditions. The agreement, which is applicable to all members of the bargaining unit (whether they are dues-paying members or not), must include a negotiated grievance procedure which has binding arbitration as the final step in the procedure.

The union, as the exclusive representative of bargaining unit employees, is responsible for representing the interests of all employees in the unit it represents without discrimination and without regard to labor organization membership.

THE AGREEMENT ADMINISTRATION STAGE

Once a negotiated agreement is approved, it is binding upon both parties. You are a representative of management responsible for carrying out management's part of the bargain.

You must know what is in the agreement in very explicit detail, not have just some vague idea of the contents. In addition to a clear understanding of the rights of employees and the union, you must know your rights and responsibilities also. You must know, for example, that the law prohibits certain actions by both management and union officials. Those prohibitions are called "Unfair Labor Practices" (ULPs) and you must know what they are for both parties.

For example, as a supervisor, you may not:

- Interfere with, restrain, or coerce employees in exercising their rights under the labor relations program.
- Encourage or discourage union membership by discriminating with regard to conditions of employment.
- Sponsor, control, or assist a labor organization.

continued...

THE AGREEMENT ADMINISTRATION STAGE

- Discipline or otherwise discriminate against employees for filing a complaint, petition, or for testifying.
- Refuse to consult or negotiate in good faith with a labor organization.
- Fail or refuse to cooperate in negotiation impasse procedures or decisions.
- Enforce a rule which conflicts with the collective bargaining agreement, if the agreement was in place before the rule was issued.
- Otherwise fail or refuse to comply with any provision of the labor relations statute.

Similarly, union officials may not:

- Interfere with, restrain, or coerce employees in exercising their rights under the labor relations statute.
- Cause, or attempt to cause, an agency to discriminate against employees in exercising their rights.

continued...

THE AGREEMENT ADMINISTRATION STAGE

- Coerce, punish, or attempt to take reprisal against a union member to hinder work performance or productivity.
- Discriminate against employees in regard to labor organization membership.
- Refuse to consult or negotiate in good faith.
- Fail or refuse to cooperate in impasse procedures and decisions.
- Call, participate in, or condone a strike, work stoppage, slowdown, or picketing which interferes with an agency's operation.
- Otherwise fail or refuse to comply with any provision of the labor relations statute.

An alleged ULP may be filed against:

- Management; or
- A Labor Organization (not against you or another employee).

THE AGREEMENT ADMINISTRATION STAGE

An alleged ULP may be filed by:

- An employee;
- Management; or
- A Labor Organization.

The FLRA will investigate, prosecute, and decide all ULPs that are not settled. If an agency is found to have violated the labor relations statute, a 30-day posting of the FLRA's findings must be made in work areas. Additionally, the agency may be directed to return to the status quo which existed before the ULP occurred, e.g., an agency may be required to vacate a promotion selection and to rerun the merit promotion process.

Once a labor organization has achieved exclusive recognition, it gains the right to negotiate with management before any supervisor changes a condition of employment of bargaining unit employees. The union also has the right to represent employees in discussions that may result in disciplinary actions if the employee requests representation. Finally, a supervisor must allow the union to have a representative present when he/she is discussing a grievance or any personnel policy or practice with bargaining unit employees. A supervisor should consult with his/her Servicing Personnel Office when any of these situations arises. The consultation should occur before any management action is initiated.

TIPS FOR YOU

Other than a thorough knowledge of the collective bargaining agreement applicable to your work unit, nothing will go further toward achieving smooth and fair labor-management relations than an open, cooperative attitude on your part.

Remember that the union representatives in your work unit hold positions of trust in the bargaining unit. Give them the respect and cooperation they need to do their jobs effectively. Be as understanding of their jobs as you expect them to be of yours.

Here are a few common-sense tips that may help you to avoid or minimize employee grievances or dissatisfaction:

- Keep the union representative informed of plans affecting employees.
- Keep workers informed regarding the quality of their work.
- Assign work impartially to employees with equal skill and ability.
- Don't knowingly violate the agreement.
- Encourage constructive suggestions from union representatives and act on them.
- Correct minor irritations promptly.

continued...

TIPS FOR YOU

- Act as soon as possible on reasonable union requests.
- Explain your orders, even if they seem obvious to you.
- Keep your promises.
- Don't resort to "favoritism."
- When you take corrective action against an employee, don't make it a public display.
- When a dispute does arise, resolve it (if possible) before it becomes a formal grievance.
- Seek the advice and assistance of your Servicing Personnel Office any time you are not sure of the action or position most appropriate to the situation or if you are at all uncertain as to whether or not the action you desire to take is consistent with the provisions of the labor relations statute.

UNFAIR LABOR PRACTICES

Purpose

Federal labor-management relations law establishes certain rights for agency employees, unions, and agency management. An Unfair Labor Practice (ULP) is any violation of this law. The ULP process is the means to enforce rights provided under the Federal Labor-Management Relations Statute.

Supervisor's Role

You play a central role in avoiding ULP charges. It is your responsibility to be aware of your labor relations responsibilities under the Federal Labor-Management Relations Statute. You should know the steps for implementing new conditions of employment and invite union representatives to attend formal discussions with bargaining unit employees, as well as investigations of employees when the employee reasonably believes that the investigation may result in disciplinary action against the employee (and the employee requests representation). You should also cooperate with any ULP investigations or proceedings.

References

5 USC 71, section 7116

CONTACT

For more information on Unfair Labor Practices, contact your Servicing Personnel Office.

13. SAFETY

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13. SAFETY *(continued)*

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GENERAL SAFETY

Purpose

As a Federal agency, it is the Service's responsibility to provide a safe and healthful environment for its employees, volunteers, youth program personnel, cooperators, contractors, and the visiting public. In meeting this responsibility, the Service must minimize unsafe/unhealthful behavior and/or work conditions through education, training, and the use of recognized management techniques to identify and correct hazards, minimize accidental property damage or loss, and make safety and health an integral part of every task. To ease readability in the following sections, the word “employee(s)” will encompass volunteers, youth program personnel, and cooperators.

Supervisor's Role

As a supervisor, you are responsible for complying with and enforcing the safety regulations/standards adopted by the Service, which are issued from OSHA, EPA, DOT, DOI, and State and local authorities. You are expected to identify unsafe/unhealthful employee behavior and working conditions and correct them or advise management of the need for corrective action. It is also your responsibility to ensure that your employees understand safety responsibilities and are properly trained in the Service's safety program.

References

240 through 242 FW—Occupational Safety and Health; Regional and Field Station policies; 485 DM; OSHA regulations found at 29 CFR parts 1910, 1926, 1960, and E.O. 12196

GENERAL SAFETY

CONTACT

For more information on the Service's safety program, contact your Station's Collateral Duty Safety Officer (CDSO), Regional Safety Office staff, or the Service's Office of Safety, Health, and Aviation. Information can also be found on the Internet at <http://sii.fws.gov/r9osh> and <http://safetynet.smis.doi.gov>

SAFETY PROGRAM

Purpose

The responsibility for a safe and healthful Service occupational environment is shared by all employees. In particular, supervisors must apply the use of various work practices and procedures to protect resources (personnel, physical structures, equipment, and land) from risks, injury, damage, or loss. As a supervisor, you have safety program resources available to you, such as Station Collateral Duty Safety Officers (CDSOs) and Regional Safety Office staff who are familiar with managing resource risks by implementing proactive, site-specific Safety Program (Program) elements. An effective Program is made up of at least the following four elements: (1) management commitment and employee involvement; (2) Station analysis/inspection; (3) hazard prevention and control; and (4) training. These four elements are incorporated within the Service's safety and health policies and are discussed in the following sections.

Supervisor's Role

- Actively participate in providing for the safety and health of employees, volunteers, contractors, and the visiting public.
- Ensure that employees are capable of accomplishing their assigned work by providing appropriate safety and health training such as safety orientation for new/transferred employees (see *Employee Orientation and Training* in this section) and task-specific safety training (e.g., chainsaw operation, explosives use, hazardous chemical usage, etc.).

continued...

SAFETY PROGRAM

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- Monitor operations and ensure that facilities are inspected routinely (at least annually), providing adequate resources for your Station's CDSO to conduct periodic “walk-arounds” to supplement annual inspections.
 - Require implementation of engineering/administrative controls based upon hazard analyses (Job Hazard Analysis [JHA]/Hazard Assessments) before relying on personal protective equipment (PPE) such as gloves, safety glasses, etc., to protect the employee from hazards. If PPE is needed, then you must ensure its proper use.
 - Promptly abate deficiencies found during inspections or reported by employees—do not allow an employee to work in an unsafe situation.
 - Ensure compliance with safety and health regulations and policies, including the development of Station-specific safety and health programs/plans (e.g., Emergency/Evac, HazCom, Respiratory Protection, Chemical Hygiene, etc.).
 - Investigate and report all job-related incidents/accidents that result (or could result) in injury, illness, or property damage (see *Accident/Incident Investigation* and *Accident/Incident Reporting* in this section).

continued...

SAFETY PROGRAM

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- Involve your employees in creating a safe working environment—ask them about the hazards of their jobs, discuss accidents/near-misses, plan new tasks/work procedures with employees' input, etc. Use promotional efforts and incentives to motivate employees to achieve the Station's safety program goals.
 - Hold employees accountable for safe and healthful work practices, include safety and health as part of each employee's annual review, and provide recognition for exemplary performance. Provide for employee participation in the safety and health program without fear of reprisal.

The bottom line is that by managing an effective safety and health program, you save Station resources (money and lost time) and foster employee motivation by your “I care” attitude.

The topics covered in the following sections represent a portion of the Service's safety and health program, and include accident/incident investigation and reporting, JHA/Hazard Assessments, etc. **Please note that not all safety programming elements are presented here.** Contact your Regional Safety Office staff to learn more about work- and Station-specific safety programming.

References

240 through 242 FW—Occupational Safety and Health; 485 DM; 29 CFR parts 1910, 1926, 1960, et al.; E.O. 12196

ACCIDENT/INCIDENT INVESTIGATION

Purpose

The primary reason for conducting an accident/incident investigation is to determine causes and prevent recurrence. With the exception of serious accidents as defined within *Accident/Incident Reporting* in this section, investigations should be conducted by the immediate supervisor of the employee or property involved. The Station's CDSO or Safety Committee should assist in the investigation to ensure all relevant factors are identified. Generally, the procedures followed during an investigation are designed to elicit clues to other problems, such as maintenance problems, poorly-designed equipment, untrained employees, etc. Accidents involving activities such as aircraft/boat/fire/law enforcement operations, etc., have specific and/or additional investigation and reporting requirements that must be met. Please note that the full spectrum of accident/incident investigation is outside the scope of this guide, so you should contact your Regional Safety Office staff for additional guidance.

Supervisor's Role

- **Take Immediate Action:** Employee and visitor safety is the primary concern when an accident occurs. If an injury or illness results, make sure the affected person gets immediate medical attention, and take steps to provide for emergency rescue or evacuation. In addition, take any action that will prevent/minimize further accidents from happening as a result of the initial accident.

continued...

ACCIDENT/INCIDENT INVESTIGATION

-
- **Secure the Site:** If needed, barricade or isolate the scene with ropes, barrier tape, cones, guards, etc., to warn people and/or restrict access to the area.
 - **Preserve Evidence:** Record locations of evidence with videotape, photos, or sketches.
 - **Interview Witnesses:** Supervisors should speak with anyone who was in the accident area, not only those who actually witnessed the event.
 - **Complete the SMIS Report:** Use clear, concise language and cover all causal factors that might have contributed to the accident. For guidelines for investigating serious accidents, see 240 FW 8.

References

240 FW 8—Serious Accident Investigation; 485 DM 7; 29 CFR part 1960.29

ACCIDENT/INCIDENT REPORTING

Purpose

The primary purpose of reporting accidents and incidents is to document causal factors in order to prevent a recurrence. For Service purposes, an “incident” is an unplanned event involving Service property, employees, volunteers, contractors, visiting public, or the environment that could have resulted in an injury, illness, or material loss, but did not. If there is injury, illness, or loss of property the incident is reported as an “accident.” In addition, a serious accident is one involving a death or three or more persons hospitalized, or property loss exceeding \$250,000.

The **Safety Management Information System (SMIS)** is the official Internet-based accident reporting system used by the Service (see *Safety Management Information System (SMIS)* in this section for additional information and the Internet address).

An accident/incident report is required for, but not limited to, events that involve:

- Injury, occupational disease, or death connected with the performance of work duties by employees or other personnel (e.g., volunteers, contractors’ employees, etc.).
- Public injury, death, and/or property damage relating to Service operations or facilities.

continued..

ACCIDENT/INCIDENT REPORTING

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- Fire resulting in any loss involving equipment, structures, or contents of any Service property.
 - Property damage or injury resulting from privately-owned or commercially-leased equipment use for official business.
 - Other property under Service control that is damaged by an accident.
-

Supervisor's Role

- Ensure that employees understand their responsibility to immediately report every job-related incident or accident to their supervisors.
- Ensure that each incident/accident is investigated to determine cause(s), with preventive/corrective actions implemented to prevent recurrence (see *Accident/Incident Investigation* in this section).
- Be knowledgeable about requirements to complete additional reports for certain accidents involving aircraft, boats/vessels, motor vehicles, wildland and prescribed fire, injury compensation, etc.

continued...

ACCIDENT/INCIDENT REPORTING

- Except for serious accidents, immediate supervisors will investigate and record into SMIS, within six (6) working days, all incidents and accidents that occur under their responsibility.
 - For serious accidents, supervisors must immediately make a report to their line management, the Regional Safety Office, and the Service's Office of Safety, Health, and Aviation. The Service's safety staff is required to report employee, volunteer, and youth program participant serious accidents to OSHA within eight (8) hours.
-

References

240 FW 7—Report of Accident/Incident; 485 DM 7; 29 CFR part 1960.70

SAFETY MANAGEMENT INFORMATION SYSTEM (SMIS)

Purpose

The Safety Management Information System (SMIS) is the official Internet-based accident and incident reporting system used by the Department of the Interior. SMIS replaces the obsolete DI-134 accident reporting form, and provides an information base used to compile statistics on the accident and injury rates for all Bureaus within the Department. The appropriate immediate supervisor should record all incidents and accidents into the SMIS system, which is managed by the Department's Office of Managing Risk and Public Safety. SMIS can also be used to generate a partially-completed Form CA-1/CA-2 for reporting traumatic injuries and occupational disease claims to OWCP.

Supervisor's Role

As soon as possible upon an employee's report of an incident or accident, you should access the SMIS system at <http://www.smis.doi.gov>. To report an accident, follow these steps:

- After bringing up the SMIS homepage, click on "Accident Reporting," then "Report an Accident." You will be prompted to enter your last name and the last four (4) digits of your SSN (SMIS is a secure system). The SMIS system is extremely user-friendly, and requires only a minor amount of data entry; most information is entered through "pick lists."

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SAFETY MANAGEMENT INFORMATION SYSTEM (SMIS)

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- The first screen you see is for providing general information about the accident/incident. Be sure to enter the Station name under the “Place” section. The second screen is to enter the personal injury data; there is also a screen for entering any property damage. Most entry areas provide a symbol “i” to click for on-line help.
 - Upon completion of the final screen, the “Submit This Info” button takes you to an area where you can generate a partially-complete Form CA-1/CA-2, and following that, a button that allows you to prepare and print a report for your files. Once the report is complete, it is automatically sent electronically to the Safety Office for review (Note: Forms CA-1/CA-2 are not submitted electronically; they must be filed through regular channels.)

References

485 DM 7; 29 CFR part 1960, Subpart I

REPORTING UNSAFE/UNHEALTHFUL CONDITIONS (EMPLOYEE)

Purpose

Employees are responsible for identifying potentially hazardous practices/conditions and correcting them when they have the ability and knowledge to do so. Employee reports of unsafe or unhealthful practices and conditions are an important means of identifying potential hazards before accidents occur, and are encouraged at all levels. Reports should be handled at the operating level to expedite corrective action; however, reports or complaints may be made directly to the Regional Safety Office staff for follow-up action.

Supervisor's Role

Supervisors are the key to ensuring that follow-up is done on employee reports of unsafe/unhealthful conditions and practices. Supervisors are responsible for investigating employee reports and implementing controls to protect employees from hazards. Such controls include:

- Discontinue operation/process until corrective action is implemented.
- Remove all employees from the hazardous condition, operation, or process.
- Place barriers and sign the hazardous area to prevent entry of personnel until corrective actions are completed.

continued...

REPORTING UNSAFE/UNHEALTHFUL CONDITIONS (EMPLOYEE)

-
- Provide employees with appropriate clothing, PPE, or equipment to allow them to continue the task safely.
 - Advise employees concerning corrective actions completed or planned.
 - Forward the report to the Regional Safety Office or upper management if you do not have the expertise, authority, or resources to accomplish corrective action.
 - Follow up to ensure that corrective actions have been completed.

Employees may also submit formal complaints alleging workplace hazards directly to OSHA; however, employees are encouraged to use Service in-house reporting procedures as the most expeditious means to achieve hazard abatement.

References

240 FW 6—Reports of Unsafe or Unhealthful Conditions; 485 DM 8; 29 CFR parts 1960.10, 1960.26-28, 46

JOB HAZARD ANALYSIS (JHA) / HAZARD ASSESSMENT

Purpose

A Job Hazard Analysis (JHA)/Hazard Assessment is a systematic method for breaking down a job or activity into basic steps, and examining each step for potential hazards. For each hazard identified, a means of eliminating or controlling the hazard is developed and implemented. The purpose of hazard analysis/assessment is the elimination or control of unacceptable risks. **The goal is to prevent accidents.**

Supervisor's Role

Select jobs require a JHA and involve employees in all phases of the analysis, from reviewing all the job steps to identifying hazards to establishing effective remedial actions. To determine which jobs should undergo a JHA first, contact your Regional Safety Office staff for availability of current/certified JHAs from which to work, and then establish an order of importance, i.e., those with high injury rates, jobs with “close calls,” new jobs, and jobs which have task changes. Then complete a JHA form and certify by signature how hazards will be controlled (e.g., chainsaw operation requires hard hat, face shield/safety glasses/impact goggles, hearing protection, gloves, boots, and chaps).

A JHA/Hazard Assessment is **required** to be completed for: (a) jobs or work practices which have potential hazards; (b) new, non-routine, or hazardous tasks to be performed where potential hazards exist; and (c) jobs which may require an employee

continued...

to use out-of-the-ordinary PPE (e.g., body harness for elevated work). Follow the steps below to prepare a JHA/Hazard Assessment:

- Select a job for analysis, and discuss the JHA procedure with the affected employee(s), ensuring their active participation throughout the Assessment process.
- Carefully study and record each step of the job selected, listing each step in the order of occurrence as you observe the employees performing the job (it's also helpful to talk to other employees who have done the same job).
- Identify existing or potential safety and health hazards, and discuss them with the employee (e.g., dust, heat stress, noise levels, chemical exposure, mechanical injury, etc.). If necessary, repeat the job observation until all hazards/potential hazards have been identified.

continued...

JOB HAZARD ANALYSIS (JHA) / HAZARD ASSESSMENT

- Determine the best ways to perform the job tasks to reduce or eliminate the identified hazards. If any hazards are still present, attempt to reduce the necessity for performing that particular task, or the frequency of the task (e.g., combine task steps, change task sequence, use additional safety equipment, etc.). **Concentrate on using engineering controls** (e.g., fume hood, noise attenuation walls, etc.) **and administrative controls** (e.g., work rotation, etc.) **before relying on PPE.**
- Ensure that each JHA has been reviewed by the Station's CDSO, Safety Committee, and Regional Safety Office staff to determine compliance with DOI/FWS policy and OSHA standards.
- Re-evaluate established JHAs periodically to ensure that they reflect the latest, safest, and most efficient way to perform the task. New equipment, tools, methods, and safety standards can require changes in JHAs. Maintain JHA records to document hazard reduction efforts and to use as an employee training guide. JHAs are particularly useful in training new employees.

References

240 FW 2.6—Hazard Analysis; 485 DM 14

COLLATERAL DUTY SAFETY OFFICER (CDSO)

Purpose

A Station's Collateral Duty Safety Officer (CDSO) is a supervisor's safety "eyes and ears," providing valuable oversight of the Station's safety and occupational health program. A CDSO is typically appointed by the Project Leader, and chairs the Station Safety Committee to ensure that meaningful safety business is conducted and positive results achieved.

Supervisor's Role

- Assign a CDSO at the highest level possible. It conveys a message to employees about the importance of the Station's safety and health program.
- Be familiar with applicable safety and occupational health standards of the activities you manage. Work closely with the CDSO to analyze job hazards and monitor work environments, exercise control over job tasks to ensure that safe work practices are adhered to, and ensure that adequate and applicable safety and health training is provided for employees.
- Ensure that the CDSO receives required training (e.g., OSHA 600 course, DOI Safety CD-ROM), and that monthly or quarterly safety meetings include safety training for all employees (e.g., safety videos, toolbox/tailgate safety talks, etc.).

continued...

COLLATERAL DUTY SAFETY OFFICER (CDSO)

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- Show your support of the CDSO by responding promptly to his/her recommendations for employee training, remedial actions required as a result of safety walk-arounds and assessments, planned safety awareness activities, safety meeting involvement, and employee reports of hazards.

References

240 FW 2.2—Safety Officer; 485 DM 28; 29 CFR part 1960.58; OSHA's Internet site <http://www.osha.gov>. Other Internet sites provide excellent safety information for use by supervisors and CDSOs, e.g., <http://www.safetyinfo.com> and <http://safetynet.smis.doi.gov>

SAFETY COMMITTEES

Purpose

To provide an effective means of establishing support for the Station's safety and health program, encourage employee involvement, present safety information to employees and obtain their ideas on correcting hazards, address training needs, and discuss safety issues and objectives.

Supervisor's Role

- If you serve as a Project Leader, appoint a CDSO and establish a Safety Committee.
- Ensure that Committee members receive sufficient safety program orientation and training in the structure of the Service's safety and health program, program responsibilities, and use of safety program tools such as JHAs, inspections, and Station safety plans.
- Support the Committee in monitoring the Station's safety and health program, recommending training, representing employee concerns, ensuring compliance with safety regulations and policies, and conducting safety assessments/inspections.

continued...

SAFETY COMMITTEES

-
- Ensure that the Committee is not left to “run itself”—keep abreast of its activities, and help it to maintain structure and objectives.
 - Respond to Committee suggestions as soon as possible, and provide reasons for any inaction on a specific recommendation.
-

References

240 FW 2—Program Management; 485 DM 1.3H; 29 CFR part 1960.58

SAFETY AND OCCUPATIONAL HEALTH TRAINING

Purpose

The Service is required to provide safety and health training to all employees, including managers and supervisors. Training in how to deal with the environment, materials, and machines that may pose hazards is a primary deterrent to accidents. Some obvious reasons for conducting training are to protect employees from injury, increase efficiency, improve morale, avoid accidents, and comply with regulatory requirements. Training needs can vary drastically from one location to another; therefore, the training of each employee or group of employees must be appropriate to the work performed, compliance requirements, and the degree of hazard involved. Specific safety and health training requirements are included within this section (e.g., *Employee Orientation and Training*), and should be consulted for additional guidance.

Supervisor's Role

Supervisors are the key in establishing when, where, and how to do each job safely by:

- Ensuring that their employees receive the training necessary to safely perform job duties.
- Obtaining assistance for developing and conducting safety training from qualified and experienced employees, Service safety personnel, private industry vendors, OSHA, NFPA, etc.

continued...

SAFETY AND OCCUPATIONAL HEALTH TRAINING

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- Ensuring the proper use and care of PPE and Service property.

There are numerous jobs throughout the Service that require training and/or certification prior to performing certain tasks. Supervisors are advised to check with Regional Safety Office staff for specific requirements.

References

240 FW 3—Employee Orientation and Training; 485 DM 13; 29 CFR part 1960.54, 55, 58, 59

EMPLOYEE ORIENTATION AND TRAINING

Purpose

To provide new and transferred employees with Station-specific information on Service safety and health policies, regulations, emergency procedures, and any special working conditions. Training in how to deal with the environment, materials, and machines that may pose hazards within an employee's occupational setting is critical in preventing accidents. All employees must receive orientation training in the Service's safety and health program, including their rights and responsibilities under the program, and applicable information on the Occupational Safety and Health Act of 1970, Executive Order 12196, 29 CFR part 1960, and other applicable regulations and DOI/FWS policies.

Supervisor's Role

- Go over each employee's responsibilities and demonstrate safe working procedures, being careful to point out hazards specific to that employee's job tasks.
- Issue and demonstrate proper use of required PPE (e.g., respirator use requires specific use and fit training, and a written Respiratory Protection Program).
- Discuss authorized motor vehicle use, vehicle inspection procedures, required emergency equipment, accident-reporting kit (DI-135), and any required defensive driver training/road testing.

continued...

EMPLOYEE ORIENTATION AND TRAINING

- Go over accident/hazardous condition reporting procedures.
- Specific job training is required for specialized tasks such as heavy equipment operation, power tool operation, welding, materials handling, etc., both for new employees and newly-tasked employees. Additional training is necessary when employees are required to operate motorboats, special vehicles (heavy trucks, mowers, tracked vehicles), provide first aid/CPR (bloodborne pathogens program), or participate in hazardous activities/conditions such as firefighting, electrofishing, hazardous materials handling, entering confined spaces, explosives use, and scuba diving.
- As new programs and activities are introduced, training to eliminate or reduce associated hazardous conditions must be provided. Station CDSO and/or Regional Safety Office staff should be consulted for assistance in completing hazard assessments.

References

240 FW 3, Appendix 1—Safety Orientation Guide; 485 DM 13; 29 CFR part 1960.59; *Hazard Communication* in this section

SAFETY AND HEALTH INSPECTIONS/ASSESSMENTS

Purpose

Safety and health inspections/assessments identify substandard conditions and practices that can lead to accidents and injuries. All Service facilities must have an inspection/assessment at least annually, or more frequently if operations involve special hazards. They must be conducted by personnel qualified by training or experience to identify hazards within their specific work settings (e.g., CDSOs and/or Regional Safety Office staff). Inspections by outside agencies (e.g., OSHA) may be triggered by an employee's report of a hazard or an imminent danger, or be part of the agency's formal inspection process. Regional Safety Offices typically conduct scheduled inspections of their facilities on a rotational basis.

Supervisor's Role

- Ensure that CDSOs have the training and equipment to conduct workplace inspections.
- Afford employees the opportunity to identify substandard working conditions. This is done primarily through the use of daily assessments of routine activities. These assessments deal with work practices/conditions such as machine guarding, housekeeping, ladders, fire protection, flammable/combustible liquid storage, and so forth.
- If an imminent danger situation is discovered during an inspection/assessment, personnel should be withdrawn from the worksite until the condition is corrected.

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- Ensure that corrective actions are completed immediately, or promptly request assistance from the appropriate management level for action.
 - Ensure that all reports of identified hazards, as well as any resulting abatement plan, are posted on the Station's bulletin board.

NOTE: Inspection checklists are an excellent tool for conducting routine inspections; however, while checklists are helpful, they are not all-encompassing. Hazards identified that are not included on a checklist should be added as appropriate. Contact your Regional Safety Office staff for inspection/assessment checklists or examples of safety reviews conducted at other Stations.

There may be operational areas where expertise at the Station is not sufficient for conducting an inspection. In such cases, you should contact your Regional Safety Office staff for assistance. They may either provide the assistance you need or refer you to a qualified individual (e.g., industrial hygienist, engineer, etc.).

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SAFETY AND HEALTH INSPECTIONS/ASSESSMENTS

Guidance on which activities/operations require inspection, and the preferred inspection format, may also be obtained from your Regional Safety Office staff.

References

240 FW 5—Safety and Environmental Health Inspections; 485 DM 6; 29 CFR part 1960.25(a)(c)

VOLUNTEER/YOUTH PROGRAMS

Purpose

To establish responsibilities for conducting volunteer programs (including YCC, Boy/Girl Scouts, and other volunteers) in a safe and healthful manner.

Supervisor's Role

- Conduct safety and health orientation for volunteers assigned to the Station, including information about the Station safety plan and procedures to be followed in the event of an emergency.
- Instruct volunteers in safe operating procedures for the specific activity the volunteer is involved with, including proper use of PPE and its limitations, equipment-specific safety procedures, portable fire extinguisher use, etc.
- Ensure compliance with all safety rules, regulations, and standards applicable to the task being performed, including the use of all PPE and special equipment required for safe performance of the work activity (e.g., operation of motor vehicles by YCC enrollees is not permitted unless the enrollee is at least 18 years old and possesses a valid State motor vehicle operator's license, YCC enrollees and volunteers may not operate any motor vehicle in excess of 6,000 pounds gross vehicle weight, etc.).

continued...

VOLUNTEER/YOUTH PROGRAMS

- Ensure that individuals understand how to report unsafe or unhealthful practices/conditions and accidents/incidents.
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References

485 DM; 240 FW 9—Volunteer and Youth Programs; 29 CFR part 1960; for information about: Volunteer Services Program, see 150 FW; YCC Program, see 141 FW; Boy/Girl Scouts, see 143-144 FW

HAZARD COMMUNICATION (HAZCOM)

Purpose

To ensure that employees are informed of chemical and physical hazards present within their workplace, reduce or eliminate the incidence and/or likelihood of workplace injuries/illnesses resulting from exposures, and establish a framework for providing safety and health information for special-emphasis programs such as (but not limited to) asbestos, formaldehyde, lead, etc.

Supervisor's Role

The extent or degree of HAZCOM implementation is based upon the potential of on-the-job exposures to chemical and physical hazards; therefore it is highly recommended to contact your Regional Safety Office staff to determine the extent of program development required at your specific location. Please see 242 FW 8 if your facility conducts laboratory work requiring the development of a laboratory hygiene plan.

Develop and implement a written Hazard Communication Program which contains the following key elements:

- Acquire and maintain **Material Safety Data Sheets (MSDSs)** for all hazardous chemicals in use at the facility. Obtain the applicable MSDS prior to the product's first use and review it with employees.

continued...

- Maintain a **list of all hazardous chemicals** used at the facility. The list may be further subdivided to provide inventories for individual buildings and workplaces. Each list must be updated annually, and as new products are received. Each item on the inventory shall have a corresponding MSDS. It is recommended that this list be computerized to facilitate updates.
- Provide employees with **training** prior to first using or handling a hazardous chemical. Ensure that a review of the chemical-handling procedures has been done prior to the start of a chemical's use. Where JHAs are used, MSDSs must be incorporated into the JHA.
- Ensure that all containers are **labeled, tagged, or marked** with the product's identification and appropriate hazard warnings.
- Ensure that employees exposed to hazardous chemicals or those developing symptoms of overexposure have access to a **medical evaluation**.

continued...

HAZARD COMMUNICATION (HAZCOM)

- **Retain records** pertaining to employee exposures, hazard chemical inventories, and hazardous chemical use for at least 30 years.
- Station personnel should be informed about any chemical/physical hazards brought onto the Station by **contractors**, and contractors should be made aware of such hazards at the Station. It is strongly recommended that contractors not be permitted to leave chemical products and/or containers behind when their work is completed.
- It is incumbent upon management to choose the **least-hazardous product** that will get the job done. Supervisors should contact suppliers (especially GSA) to request literature or an MSDS prior to ordering a product to determine if that product is the least hazardous for the required application.

References

242 FW 2—Hazard Communication Program; 485 DM 17; 29 CFR part 1910.1200

PERSONAL PROTECTIVE EQUIPMENT (PPE)

Purpose

To provide personal protection from workplace hazards in the event that those hazards cannot be mitigated through engineering or administrative controls (see *Job Hazard Analysis (JHA)/Hazard Assessment* in this section for additional information on engineering and administrative controls). PPE includes all clothing and work accessories (e.g., barrier creams to protect against poisonous vegetation, ergonomic devices, electrolyte fluids, etc.) designed to protect against occupational hazards.

Supervisor's Role

- Conduct a written hazard assessment of employee's work activity to determine if hazards are present, or likely to be present, which necessitates the use of PPE. The Service's JHA process serves well for this purpose.
- If hazards are found that cannot be totally controlled by engineering and/or administrative methods, you must:
 - Select, provide, and require the use of PPE that will protect the employee from identified hazards.
 - Communicate the selection and compulsory-use requirement to each affected employee.

continued...

PERSONAL PROTECTIVE EQUIPMENT (PPE)

- Certify each JHA form with an evaluator's signature.
- Provide training to individuals required to use PPE, to include when and how to use it, limitations, and proper care, maintenance, and disposal.
- Each employee must demonstrate an understanding of the training provided, and the ability to use the PPE properly.
- Verify by written certification that each affected employee has received and understands the PPE requirements as imparted in the training. If you believe that any trained individual does not have an acceptable level of understanding/skill regarding PPE, retraining must be provided.

References

241 FW 3 and Appendices—Personal Protective Equipment; 485 DM 20; 29 CFR parts 1910.95, 132 through 138, 1960.10; ANSI Z41, Z87.1, & Z89

CONFINED SPACE

Purpose

To ensure that employees having job tasks involving work in a confined space have the necessary understanding, skills, and knowledge to accomplish their tasks safely while in the confined space.

A confined space is an area with limited or restricted means of access and egress that is not designated for continuous occupancy. A few examples that may be found at Service facilities include tanks, wells, lift stations, manholes, boilers, and pits. Many workplaces have confined spaces that may occasionally be entered to perform repairs, maintenance, or other tasks. Hazards that can be encountered in a confined space are heat, noise, falling, engulfment, and asphyxiation, to name a few. All Stations are required to assess their facilities to determine if permit-required confined spaces exist (it is recommended that you check with your Regional Safety Office staff for additional assistance). If confined or permit-required confined spaces exist they must be identified (signed, labeled, etc.). If Service personnel will be entering the space, a Confined Space Entry Program is required. It is strongly recommended that new facilities be designed to eliminate any confined spaces; also, that each Station reviews its operations to eliminate or engineer-out the need for entry into such spaces.

continued...

CONFINED SPACE

Supervisor's Role

If a program is required, the following actions are just a few of those needed to meet compliance.

- Establish written Confined Space entry procedures (consult Regional Safety Office staff).
- Provide initial and refresher training to all employees whose jobs necessitate entering any confined space(s) at the Station.
- Employees required to enter confined spaces must be informed about the hazards, precautions, emergency equipment, and PPE involved in the work activity.
- Ensure that the confined space has been tested for hazardous atmosphere, and that any steam, water, heat, or power lines going to the confined space are locked and tagged out before entrance (see *Energy Lockout/Tagout* in this section).

continued...

CONFINED SPACE

- There are additional entry requirements that should be obtained from Regional Safety Office staff. These include having a competent person stand by during a confined space entry to act in the event the entry worker requires rescue from the confined space, having additional equipment such as body harnesses, rescue equipment, ventilation equipment, etc.
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References

242 FW 11—Confined Space; 29 CFR part 1910.146

ENERGY LOCKOUT/TAGOUT

Purpose

To ensure that employees and contract personnel understand how to prevent unexpected energization, start-up, or release of stored energy that could result in personal injury. Machines, equipment, and systems must be isolated from all potentially-hazardous energy sources (e.g., electricity, pneumatic, steam, internal combustion, hydraulic, etc.) prior to employees performing any service or maintenance activities.

Typical activities requiring lockout/tagout include repairing electrical circuits or equipment, work on or near equipment with movable parts, cleaning blocked or jammed mechanisms, and work on lines carrying hazardous materials, materials under pressure, or materials at dangerous temperatures.

Supervisor's Role

- Determine if your facility requires a lockout-tagout program. If so, implement a program at the Station, with assistance from your Regional Safety Office staff.
- Ensure that all employees are trained in the purpose and requirements of lockout/tagout procedures.

continued...

ENERGY LOCKOUT/TAGOUT

- Require the implementation of lockout/tagout procedures for tasks which carry the risk of unexpected energy release.
 - Ensure that standardized lockout/tagout devices are used when required.
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References

241 FW 8—Energy Lockout/Tagout; 29 CFR part 1910.147

NOISE CONTROL AND HEARING CONSERVATION

Purpose

To establish requirements and procedures that will eliminate, prevent, or minimize the risk of hearing impairment from exposure to excessive levels of noise in the work environment.

Supervisor's Role

- Evaluate excessive noise-exposure activities/locations and determine, in consultation with Regional Safety Office staff, the need for audiometric testing, sound-level measurements, implementation of engineering/administrative/PPE controls, etc.
- Post high-noise-level warning labels and signs in work areas where the noise level is 85 dBA or higher.
- Ensure that employees at risk to excessive noise participate in a hearing conservation program (this involves baseline and annual audiometric testing for employees as identified in 242 FW 3).
- Provide and replace, as necessary, appropriately-selected hearing protection devices for all employees exposed to excessive noise.

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NOISE CONTROL AND HEARING CONSERVATION

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- Ensure that employees are trained in the selection, use, and maintenance of hearing-protection devices, and are responsible for using them in designated high-noise areas.

References

242 FW 3—Noise Control and Hearing Conservation; 485 DM 17; 29 CFR part 1910.95

OFFICE SAFETY AND ERGONOMICS

Purpose

To provide a safe and healthful work environment for Service personnel whose job responsibilities entail working in an office setting. Hazards encountered in the office environment may include slips and trips from loose carpeting or power cables across a doorway, falls from a step ladder while retrieving supplies, excessive noise from a copier placed too close to a work area, fire hazards from too many electrical plugs in one outlet, and ergonomic problems resulting from poor workstation layout.

Supervisor's Role

- Ensure that good housekeeping practices are followed in the office, including keeping extension cords away from travel areas, cleaning up spilled liquids, properly storing flammable materials, providing adequate outlets for electrical items, maintaining clean, well-lit stairways, and isolating loud machinery from the general work area.
- Include office safety and ergonomic topics in safety meetings. Supervisors should consult their CDSOs and/or Regional Safety Office staff for safety requirements common to office environments (e.g., fire, electrical, etc.).

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- Provide employees with work areas designed to prevent ergonomic problems such as Carpal Tunnel Syndrome, eyestrain, back strain, and neck strain. For example, each employee should have adequate desk space to comfortably accommodate materials and equipment necessary for the job, keep frequently-used items close to the employee, position computer equipment for maximum comfort of use, chairs must be adjustable and at the proper height, desks should be at the proper height for the employee, reduce glare and intense lighting, and cut back on office noise by covering noisy printers or erecting partitions to reduce the noise level.
 - Ensure that employees are aware that they are responsible for other ergonomic solutions, such as taking short rest breaks, exercising during the week to increase fitness, notifying you of any problems that arise, and maintaining good work habits.

References

240 FW 1—Policy and General Provisions; 485 DM

FIELD WORK

Purpose

To ensure the safety and health of employees who perform field activities in which they may confront many different types of work environments, each with its own associated hazards. For example, working alone can be dangerous if unexpected problems such as injury, fire, adverse wildlife encounters, or chemical emergency occur; therefore, whenever possible, the planning and execution of field activities should be a team effort.

Supervisor's Role

- Ensure that employees required to work in the field have received adequate safety orientation and training on specific topics such as inherent seasonal hazards (e.g., summer heat/humidity, winter ice and snow, etc.), and location-specific hazards (e.g., mines/pits, bears/alligators, hazardous chemicals/waste, etc.). Appropriate training in first-aid/CPR/wilderness survival must be furnished, along with adequate emergency supplies.
- Ensure adherence to an established field work routine, such as notifying others of intended destination, route of travel, work time, and expected return to base.
- Provide an adequate means of communication (e.g., cell phones, radio, etc.) and personal emergency locator devices for employees working in remote locations,

continued...

and if communication is not possible, develop a back-up plan for use in emergencies.

- Provide proper equipment and supplies (e.g., PPE, potable water, GPS, etc.).
- Whenever possible, have employees complete a field activity checklist prior to conducting field work (see the DOI Safety and Health CD-ROM, available from your Regional Safety Office staff).

References

240 through 242 FW—Occupational Safety and Health; DOI Safety and Health CD-ROM

MOTOR VEHICLES AND EQUIPMENT

Purpose

To ensure employee safety when operating or working around motor vehicles and motorized equipment, including fish distribution trucks, all-terrain vehicles (ATVs), dump trucks, heavy-duty equipment, motor vehicles, farm equipment, and powered industrial trucks (forklifts).

Supervisor's Role

- Ensure that employees can satisfactorily operate the vehicle/equipment for which they are authorized. You have the authority to restrict or terminate authorizations for poor/unsafe drivers.
- Make sure you have informed employees regarding their responsibilities for operating Service motor vehicles: a) mandatory seatbelt use, b) not driving under the influence, c) official passengers only, d) vehicle misuse, and e) accident reports (DI-135 packet, SF-91, SF-94, and SF-95).
- Ensure that all vehicles have first-aid kits and fire extinguishers. Additionally, evaluate the need for certain vehicles to be equipped with “survival kits” in areas where isolation, extreme temperatures, or other environmental conditions make such equipment valuable.

continued...

- All vehicle operators must be provided specific equipment operational training, such as in the case of powered industrial trucks (forklifts) and four-wheel all-terrain vehicles (ATVs). Ensure that safety protection equipment and devices such as rollover protection (ROPS), seat belts, etc. are in working order.
- Stress that operators must continually inspect their vehicles/machines for safe operating conditions. Vehicle operators shall inspect motor vehicles before placing them in operation. The operator inspection should be conducted to detect obvious vehicle malfunctions that render the vehicle unsafe and/or unserviceable (e.g., checking tires, battery, steering, brakes, lights, horn, etc.). Additionally, each motor vehicle must be inspected by qualified/competent mechanics for safety and operability (see 320 FW 6.9B). Operators must be provided the authority to discontinue use of their equipment if defects or unsafe operating conditions are found.

References

320 FW 6—Service, Maintenance, and Inspection, and 9—Accidents and Accident Reporting; 321 FW 1—Requirements and Responsibilities; 485 DM 1; 29 CFR parts 1910, 1926, 1928

WATERCRAFT SAFETY

Purpose

To establish minimum requirements for the safe operation of Service watercraft, and for the training and certification of operators.

Supervisor's Role

- Ensure operators of Service watercraft are adequately trained, properly tested, and certified prior to operating watercraft. Consult Departmental policy 485 DM 22 and/or your Regional Watercraft Safety Coordinator for available motorboat operator certification courses and specific training requirements.
- Require the use and/or availability of U.S. Coast Guard (USCG)-approved personal flotation devices (PFDs), cold-water protective equipment (e.g., exposure/immersion suits), navigation aids, fire extinguishers, emergency locator devices, personal locator beacons, etc., on Service vessels.
- Ensure that Service watercraft are operated in a safe and prudent manner, in accordance with recognized Federal, State, and local laws and standards.
- Require that all new and currently-in-operation watercraft meet or exceed USCG design/equipment criteria.

continued...

WATERCRAFT SAFETY

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- Ensure that watercraft are periodically inspected and routinely maintained to meet safe operational levels.

References

485 DM 22

AIRCRAFT USE AND SAFETY

Purpose

In order to fulfill the Service mission, you may need to use aircraft. Within DOI aviation services and safety oversight are provided by the Office of Aircraft Services (OAS). Aviation management regulations pertaining to acquiring and operating aircraft on Service missions are intended to ensure the safety of personnel and must be followed.

Supervisor's Role

It is your responsibility to ensure the safety of your personnel and that the required training has been provided prior to using aircraft to accomplish Service missions. You must have enough familiarity with your aircraft operations and pertinent regulations to ensure compliance and safety. If you are not conversant with regulations on aircraft operations, then you are responsible for contacting appropriate personnel to ensure that your aviation use is safe and in compliance with regulations.

References

DOI Aviation Policy Manual and Operational Procedures Memoranda (350-354 DM and Appendix 1); Fish and Wildlife Aviation Management Regulations (330 through 334 FW—Aviation Management); Internet sites <http://www.oas.gov> and <http://www.oas.gov/oassafety/index.htm>

CONTACT

For assistance each region has an Aviation Manager and there is a National Aviation Manager in Washington, D.C. The Office of Aircraft Services has personnel located in Boise, Anchorage, and Atlanta that can be contacted to assist with your aviation needs.

You must use OAS-approved aviation resources except for travel on scheduled airlines. There are three methods of acquiring OAS-approved aircraft.

1. OAS Rental Agreement:

- OAS approves commercial aircraft vendors (over 600 nationwide) for use by Service employees.
- The rental agreement provides aircraft for use on a daily basis.
- A list of approved vendors is available from OAS and is published on their web site (www.oas.gov)
- Aircraft can be rented directly from vendors on the approved list.

2. OAS Contract:

- Contracts are needed when a project requires the exclusive use of aircraft for extended periods, specialized equipment or flight requirements, and/or costs exceed \$25,000.
- OAS provides contract services for aircraft needs.

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AIRCRAFT USE AND SAFETY

3. Fleet Aircraft:

- The Service has fleet aircraft approved by OAS and available for use.
- Aircraft are assigned to Regions, Refuges, Migratory Bird Management, and Law Enforcement.
- Aircraft are scheduled through Regional Aviation Managers and/or through program managers to which the aircraft are assigned.

CONTACT

For assistance in acquiring aircraft, contact OAS Operations and/or Contract Specialists, the National Aviation Manager, or your Regional Aviation Manager.

You can assure the safety and efficiency of your aircraft operations by:

- Including aviation needs in project development.
- Conducting aviation operations (e.g., Pre-Accident Plan, Mishap Response Plan, Pre-Flight Briefing, OAS certification for aircraft and pilots) in compliance with applicable directives.
- Providing adequate funding for aviation safety equipment and training and ensuring that all personnel using aircraft complete required aviation safety training, and that adequate PPE is provided for all personnel.
- Taking prompt action regarding possible aviation safety hazards.
- Maintaining appropriate flight documentation and records and submitting them to OAS.
- Documenting aviation safety concerns by submitting SAFECOM (Form OAS-34) through the OAS web site (www.oas.gov).
- Developing and maintaining a positive aviation safety culture.

AIRCRAFT USE AND SAFETY

NOTE: For detailed aviation policy and procedural information, consult your Regional Aviation Manager or Specialist, as well as DOI/FWS aviation manuals, handbooks, and guides.

References

330 through 334 FW—Aviation Management; 350 DM 1 and Appendix 1; Internet sites <http://www.oas.gov> and <http://www.oas.gov/oassafety/index.htm>

HAZARDOUS MATERIALS OPERATIONS

Purpose

To provide a safe and healthful environment for employees engaged in hazardous material-related activities through a program of education, training, use of PPE, medical monitoring, and recordkeeping. Refer to 242 FW 6 for more details regarding typical hazardous materials operations conducted at Service facilities.

Supervisor's Role

- Consult with your Regional Safety Office staff to determine if appropriate protective measures are in place prior to requiring employees to work in hazardous materials operations. JHAs/Hazard Assessments are typically required for these types of activities.
 - Ensure that employees are fully trained in their responsibilities concerning hazardous materials operations (see OSHA's HAZWOPER standard at 29 CFR 1910.120 for training requirements).
 - Ensure that employees use appropriate PPE to protect against hazardous exposures (e.g., chemical, biological, physical, etc.).
 - Ensure that employees have received appropriate medical monitoring, and participate in a medical surveillance program (see 242 FW 4 for clarification).
-

References

242 FW 6—Hazardous Materials Operations; 485 DM 17; 29 CFR part 1910.120

WILDLIFE HANDLING AND INSPECTIONS

Purpose

Handling and inspecting wildlife, wildlife specimens, and trophy shipments present unique hazards for Service personnel. Employees may be exposed to a variety of hazards not usually associated with typical job tasks, such as Histoplasmosis, Anaphylaxis, Psittacosis, Tuberculosis, etc.

Supervisor's Role

- Be aware of hazards employees may encounter while handling/inspecting wildlife and trophy shipments.
- Develop JHAs for handling/inspecting wildlife and trophy shipments, determining specific hazards, and incorporating these determinations into the Station's safety and occupational health program.
- Ensure that employees are trained and provided necessary PPE for handling/inspecting wildlife and trophy shipments. Such PPE may include gloves, disposable suits, respirators, snake sticks, etc.
- Provide proper disposal methods for non-hazardous and potentially biohazardous waste generated by handling/inspecting wildlife and trophy shipments.

References

241 FW 3—Personal Protective Equipment, 9—Wildlife Handling and Inspections, and 12; 242 FW 1—Policy and General Provisions; 240 FW 2—Program Management

NATURAL OR MAN-CAUSED EMERGENCIES AFFECTING SERVICE FACILITIES

Bridge Damages

Purpose

Certain emergency actions and reporting procedures are required when a natural catastrophe (e.g., flood, hurricane, earthquake, wildfire) or man-caused event (e.g., fire, explosion, vandalism) renders Service facilities inoperable, structurally unsound, or unsafe. If damages are incurred, field station facilities, including buildings, dams, bridges, roads, and observation towers must be immediately shut down if known or suspected to be unsafe, to protect personnel and the general public. Such facilities must be inspected by qualified personnel to determine the extent of damage and specify repairs/rehabilitation needed to restore the facility to its proper operating condition and capability. Appropriate reporting procedures must be followed in documenting damages and notifying field personnel, public visitors and the Regional Office.

Supervisor's Role

In the event of bridge damages incurred due to natural catastrophes or man-caused actions, the following steps should be taken. Make a quick assessment of damages, as much as possible and within the capability of station staff. If damages are observed that affect the structural or operational safety of the bridge, or

continued...

if there is uncertainty about the extent or effect of damages, close the bridge or restrict its use as appropriate, until an evaluation can be made by qualified personnel. If the bridge is on the only route to an area that in effect would close the station (e.g., main office, maintenance facility), stations may possibly get interim assistance from the local State Department of Transportation or county engineer (especially if the bridge is used by the general public) for an initial assessment of whether the bridge should be closed or remain open with restrictions until a full evaluation can be made. However, the bridge is a Service responsibility and there may be reluctance by outside entities to provide this assistance.

Depending on the priority of the bridge, contact your Regional Office Supervisor, Regional Engineer or Bridge Inspection Coordinator, and/or Regional Safety Manager, as appropriate. If a special inspection is needed immediately, or prior to the next bi-annual bridge inspection to determine operational capability of the bridge, contact your Regional Bridge Inspection Coordinator to schedule this special inspection with the Division of Engineering Bridge Safety Inspection Coordinator.

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NATURAL OR MAN-CAUSED EMERGENCIES AFFECTING SERVICE FACILITIES

If the bridge is known to be damaged to the extent that engineering design and repair actions are needed, the Regional Office will need to initiate those actions.

References

If there is injury to persons or property damage, refer to Service safety and reporting guidelines (240 FW 7—Report of Accident/Incident)

CONTACT

For more information on Bridge Safety issues, contact your Regional Engineer or Bridge Inspection Coordinator in the Regional Office, or the Bridge Safety Inspection Coordinator, Division of Engineering, Denver, CO.

NATURAL OR MAN-CAUSED EMERGENCIES AFFECTING SERVICE FACILITIES

Damages to Dams

Purpose

Certain emergency actions and reporting procedures are required when a natural catastrophe (e.g., flood, hurricane, earthquake, wildfire) or man-caused event (e.g., fire, explosion, vandalism) renders Service facilities inoperable, structurally unsound, or unsafe. If damages are incurred, field station facilities, including buildings, dams, bridges, roads, and observation towers, must be immediately shut down if known or suspected to be unsafe, to protect personnel and the general public. Such facilities must be inspected by qualified personnel to determine the extent of damage and specify repairs/rehabilitation needed to restore the facility to its proper operating condition and capability. Appropriate reporting procedures must be followed in documenting damages and notifying field personnel, public visitors and the Regional Office.

Supervisor's Role

In the event of damage to Service dams due to natural catastrophes or man-caused actions, report all dangerous or unusual conditions to the Regional Dam Safety Officer, who will immediately report them to the Regional Director or designee.

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The Regional Dam Safety Officer should then immediately contact the Regional Safety Manager. If an inspection by the station supervisor or designee indicates that there is imminent danger or any threat of serious injury or property damage, it becomes the supervisor's or designee's responsibility to implement the dam safety Emergency Action Plan. Emergency Action Plans for all High and Significant Hazard Structures should be readily available at field station offices. Emergency Action Plans are also available in the office of the Regional Dam Safety Officer and the Service Dam Safety Officer. Emergency Action Plans are not available nor needed for Low Hazard Dams, as these structures pose no risk to the public or threat of significant property damage.

References

If there is injury to persons or property damage, refer to Service safety and reporting guidelines (095 FW 9—Emergency Action Plans for Dams, and 240 FW 7—Report of Accident/Incident). Specific dam safety program procedures are found in 361 FW 1 and 2, Dam Safety. In addition, each Regional Office has a Regional Dam Safety Officer in its Engineering office, and the Service has a Dam Safety Officer who is located in Denver, CO.

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NATURAL OR MAN-CAUSED EMERGENCIES AFFECTING SERVICE FACILITIES

CONTACT

For more information on Dam Safety issues, contact your Regional Engineer in the Regional Office or the Service Dam Safety Officer, Division of Engineering, Denver, CO.

NATURAL OR MAN-CAUSED EMERGENCIES AFFECTING SERVICE FACILITIES

Earthquake Damages

Purpose

Certain emergency actions and reporting procedures are required when a natural catastrophe (e.g., flood, hurricane, earthquake, wildfire) or man-caused event (e.g., fire, explosion, vandalism) renders Service facilities inoperable, structurally unsound, or unsafe. If damages are incurred, field station facilities, including buildings, dams, bridges, roads, and observation towers, must be immediately shut down if known or suspected to be unsafe, to protect personnel and the general public. Such facilities must be inspected by qualified personnel to determine the extent of damage and specify repairs/rehabilitation needed to restore the facility to its proper operating condition and capability. Appropriate reporting procedures must be followed in documenting damages and notifying field personnel, public visitors and the Regional Office.

Supervisor's Role

In the event of facility damages due to earthquakes, the following actions should be taken by the field station supervisor. Immediately take appropriate actions in accordance with the station's safety plan or emergency action plan. Communicate with employees and the public as needed. Make a quick assessment of facility damages, as much as possible and within the capability of station staff. If damages

continued...

are observed that affect the structural or operational safety of facilities, or if there is uncertainty about the extent or effect of damages, close the facilities or restrict their use as appropriate, until an evaluation can be made by qualified personnel. Contact your Regional Office Supervisor and/or Regional Safety Manager as soon as possible. Supervisors must follow Departmental and Service policies on emergency reporting and investigations in accordance with the Service's Safety Program, FW Part 240.

References

If there is injury to persons or property damage, refer to Service safety and reporting guidelines (240 FW 7—Report of Accident/Incident)

CONTACT

For more information on Seismic Safety issues, contact your Regional Engineer in the Regional Office or the Regional Safety Manager.

INTERNET RESOURCES

The following Internet sites provide useful information on safety and health topics:

FWS Office of Safety Homepage: **<http://sii.fws.gov/r9osh/>**

OSHA: **<http://www.osha.gov>**

Safety Management Information System (SMIS): **<http://www.smis.doi.gov>**

DOI Safety Net: **<http://safetynet.smis.doi.gov>**

FWS Laws, Regulations, and Congressional Information: **<http://www.fws.gov/laws/>**

Electronic Library of Interior Policies: **<http://elips.doi.gov/>**

Office of Aircraft Service, Aviation Safety: **<http://www.oas.gov/oassafety/index.htm>**

DOI Occupational Health and Medical Services: **<http://medical.smis.doi.gov>**

Consumer Product Safety Commission (CPSC): **<http://www.cpsc.gov>**

National Safety Council (NSC): **<http://www.nsc.org>**

Department of Transportation Hazardous Materials: **<http://www.hazmat.dot.gov>**

Centers for Disease Control and Prevention (CDC): **<http://www.cdc.gov/>**

Compressed Gas Association (CGA): **<http://cganet.com>**

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Environmental Protection Agency (EPA): <http://www.epa.gov/>

NIOSH: <http://www.cdc.gov/niosh/fp.html>

National Fire Protection Association (NFPA): <http://www.nfpa.org>

MSDS Resources: <http://www.chem.uky.edu/resources/msds.html>

MSDS Resources: <http://hazard.com>

Toolbox Talks: <http://www.dca-online.org/toolbox.htm>

WVU-Safety: <http://www.wvu.edu/~exten/infores/pubs/safety.htm>

OWCP AQS Case Management Query System: <https://www.dol-esa.gov/aqs/>
(User ID and Password: FWSIN15)

OWCP Forms, Handbooks, etc.: <http://www.dol.gov/dol/esa/public/regs/compliance/owcp/fecacont.htm>

Lab Safety Supply: <http://www.labsafety.com>

14. SECURITY

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Physical Security

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Computer Security

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PHYSICAL SECURITY

Purpose

The physical security program establishes the physical measures designed to protect employees, to prevent unauthorized access to property and information and safeguard them against loss or damage. To the extent possible, all employees are responsible for safeguarding Government property and sensitive information.

Supervisor's Role

It is your responsibility to ensure that all of your employees are advised of their obligation to protect Government property and sensitive information. You should also ensure that they are informed of the physical security program policies as prescribed in the Departmental Manual at 444 DM.

References

444 DM; 432 FW—Physical Security

CONTACT

The contact office varies by Region.

Office security includes . . . safeguarding your own workspace as well as your office suite.

To minimize the risk of a security breach, you should:

- Keep the emergency phone numbers for the facility manager, the police, and fire department posted near every phone.
- Never leave office keys where they can be easily taken and copied. Only give out keys to people with a legitimate need and make sure they are returned.
- Report any broken or flickering lights, dimly lit corridors, doors that don't lock properly, or broken windows to the facility manager.
- Keep small items such as calculators, tape recorders, adding machines, etc., locked in a desk drawer or file cabinet.
- Unescorted visitors who appear lost should be assisted and directed to the appropriate location to obtain visitor identification, or they should be directed to the office they are visiting. Employees should ensure that their visitors wear visitor passes or are otherwise properly identified.

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PHYSICAL SECURITY

- Notify the facility manager or the police of any suspicious person or vehicle you see.
- Safeguard security identification/access cards and any door combinations.
- Lock all offices, conference rooms, and storage rooms when unoccupied.

Personal property is . . . the responsibility of the owner, not the Service. All employees are discouraged from bringing personal items such as radios, televisions, clocks, pictures, etc., to the office. To minimize loss of personal property, you should:

- Keep your wallet, purse, or other valuable items with you at all times or locked in a drawer or cabinet.
- Never leave change or cash on a desk or in an unlocked drawer. Never post a sign indicating the individual's name/location collecting coffee/water fund monies.
- Do not leave outer office areas unattended.
- Keep coat racks away from main office entrances.

Privileged information refers to . . . any industry trade secrets or confidential commercial or financial information. It also includes personnel and medical files, as well as investigatory records compiled for the purpose of law enforcement. All FWS employees must take the following precautions:

- Never leave privileged information unattended. If you must leave your work area, place the information in an approved secure file area or in an approved secure file container.
- During non-working hours, all privileged information must be placed in an approved secure file area or in an approved secure file container.

COMPUTER SECURITY

Purpose

The FWS Computer Security Program exists to prevent unauthorized access, disclosure, delay, alteration, destruction, or misuse of automated information systems and data. The use of computer equipment for processing national security classified information is prohibited within FWS.

Supervisor's Role

As a supervisor, your responsibilities are to:

- 1) Ensure that all employees/contractors observe the security requirements of the Automated Information Systems (AIS) and AIS facilities they use;
- 2) Ensure that only authorized software runs on FWS computer equipment and that employees' activities comply with all legal requirements concerning the use of proprietary software;
- 3) Ensure that all employees receive computer security awareness training that is provided by the FWS Computer Security Program.

COMPUTER SECURITY

References

OMB Circular No. A-130; 270 FW—Information Resources Management

CONTACT

The Division of Information Resources Management (IRM) is responsible for the FWS Computer Security Program. A Bureau Information Resource Security Administrator (BIRSA) is appointed by the Director to serve as the point of contact for computer security policy and its implementation. An Information Resource Security Officer (IRSO) is appointed by the Regional Director. For detailed information review 270 FW and/or contact your regional IRSO or the BIRSA.

COMPUTER SECURITY

Use of ADP Resources

Automated Data Processing (ADP) equipment and resources may not be used for activities other than approved Government business. Use of Government equipment for personal business or non-work related activities (such as personal finance programs or computer games) is prohibited.

Software Policy

Software that is copyrighted may not be copied or distributed to unauthorized users without prior authorization from the vendor. Also, public domain software cannot be placed on an FWS system unless there is a valid need for it, approval has been obtained from your IRSO, the software is obtained directly from the vendor or developer, and the software has been checked for contamination.

Computer Virus Program

FWS has a computer virus detection and protection program, as well as procedures for reporting incidents of computer viruses. Contact your IRSO for more information.

Computer Security Breaches

Any violations of computer security or information resources policies, procedures, or requirements must be reported immediately. Contact your IRSO for more information or to report a breach.

15. TRAVEL

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ROLE OF THE ADMINISTRATIVE OFFICER (AO)

Purpose

Your organization's Administrative Officer (AO) is the best source of information regarding travel. The AO or other administrative support staff completes Form DI-1020, Travel Authorization; processes reimbursements and advances; and maintains Federal regulations for travel. Your AO can assist with resolving travel problems or unusual expenses incurred while on travel status or after the trip occurred, as well as answer any questions about changes in policies or rates.

Supervisor's Role

As a supervisor, your role is similar to that of the AO. You should be able to answer general questions or refer employees to sources of information. You should also review the trip's necessity, decide which employee is the best person to attend, and ensure that the travel expenditures are allowable and necessary. If you're not sure about a travel expense, check with your AO before you authorize that expense. Expenses authorized may not be paid if not provided for in the travel regulations. It is also your responsibility to support your AO as you would any other type of staff member (by answering questions, providing training and professional development, etc.).

References

265 FW 1 through 11—Travel; 266 FW 1 through 3—Permanent Change of Station; Federal Travel Regulations; Civilian Law Personnel Manual

ROLE OF THE ADMINISTRATIVE OFFICER (AO)

CONTACT

For more information on the role of the AO, contact your own AO or your Regional Finance Office.

Your AO can assist you with . . .

- Completing Form DI-1020, Travel Authorization
- Obtaining internal reimbursement for travel expenditures
- Obtaining outside reimbursement for travel expenditures
- Procuring transportation for local travel
- Obtaining travel advances
- Understanding and adhering to Federal Travel Regulations
- Obtaining the appropriate credit card

GOVERNMENT CHARGE CARD

Purpose

Government charge cards are offered to all Service employees who travel for official Government business. The Government charge card may be used to pay for major expenses such as lodging, meals, automobile rental, air, bus, or rail tickets, or cash advances using an ATM machine. Cash advances are authorized to pay for meals and incidental expenses, excluding auto rentals.

Supervisor's Role

Your role as a supervisor is to identify which employees are eligible to apply for a Government charge card and offer them the opportunity to do so. All employees who will make at least two trips for the purpose of official Government business are eligible. An employee who needs to travel on official business but doesn't have a Government charge card (e.g., a new employee) may receive a travel advance. Recipients are subject to the same travel expenditure accounting requirements as are travelers who obtain cash advances. Government charge card applications are available from your AO, and must be approved by your immediate supervisor.

References

Federal Travel Regulations; 265 FW—Travel

CONTACT

For more information on applying for or using the Government charge card, contact your Administrative Officer or Credit Card Coordinator.

GENERAL TRAVEL

Travel Definitions

DI-1020	Frequent travelers (travel at least twice a year) receive a limited open Travel Authorization that is valid for one year. Infrequent travelers (travel less than twice a year) receive a DI-1020 for each trip.
Travel Advances	Travel advances of funds are used for covering expenses such as meals, official transportation at the duty station, allowable incidental expenses, etc. Travel advances for frequent travelers are made through the Government charge card; for infrequent travelers, through their Administrative Officer.
Reimbursement of Travel	Reimbursement of travel is accomplished by submitting a travel voucher (SF-1012) within 5 working days of completing the official travel. The travel voucher must be supported with documents such as hotel bills, parking fee receipts, airline or rail tickets (if purchased out-of-pocket), rental car billing papers, etc. Receipts for expenses under \$75 need not be attached to the travel voucher, but should be retained by the traveler.

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GENERAL TRAVEL

Federal Travel Regulations

Federal Travel Regulations (FTR) are published by GSA and supplemented by FWS Manual and Service Policy memoranda. Federal Travel Regulations are rules that apply to all travel by civilian employees.

Local Travel

Local travel expenses are those paid by an employee for the purpose of official business, and are reimbursable. These expenses include the cost of bus or subway fare, and/or a per-mile reimbursement for traveling in a personally-owned vehicle.

TRAVEL TO FWS FOR INTERVIEWS

Purpose

When staffing certain high-level or critical needs category positions, it may be necessary to have an applicant travel to Service Headquarters or one of its operating components in order to fully appraise the applicant's qualifications. Payment for this type of travel is limited by the Federal Travel Regulations (FTR) and is subject to administrative determination by the Service and OPM.

Supervisor's Role

When filling a position, you should first try to limit applicants to the immediate commuting distance. If this is not possible, or no suitable applicants are found, you may issue another job announcement outside of the area. When doing so, you must determine if an in-person interview is required to adequately judge the applicants' qualifications. Your organization may have policies and/or procedures on this; you should work with your AO when interview situations arise.

References

Federal Travel Regulations

CONTACT

For more information on travel for interviews, contact your Administrative Officer.

INTERNATIONAL TRAVEL

Purpose

International travel is the term used to define all travel on official duty time (except change of official duty station) outside the United States and its territories. International travel is usually for the purposes of inspecting, instructing and enforcing laws to conserve, protect and enhance fish and wildlife and their habitats.

Supervisor's Role

Processing international travel is much more detailed than processing domestic travel, since more approvals and advance notifications are required. The Director and the Department's Office of International Affairs must approve all international travel requests. When necessary, an ethics review and clearance must be obtained before the travel request is submitted to the Office of International Affairs.

References

Federal Travel Regulations; 215 FW

CONTACT

For more information on international travel, contact your Administrative Officer, the International Affairs Office, or the Ethics Branch.

INJURIES/ILLNESS DURING TRAVEL

Purpose

Occasionally an incapacitating illness or injury may occur while an employee is in travel status. If the employee is incapable of continuing the travel assignment, either temporarily or permanently, certain actions may be taken.

Supervisor's Role

If one of your employees becomes ill or injured while on travel, you should alert your AO immediately. You also must know who has the authority to approve reimbursement for transportation, per diem expenses, etc., incurred due to the injury or illness.

References

Federal Travel Regulations 301-12.4

CONTACT

For more information on injuries or illness during travel, contact your Travel Coordinator.

16. PROPERTY MANAGEMENT

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ACQUISITION AND ASSISTANCE AGREEMENTS

Purpose

The purpose of acquisition is to buy the services and supplies that enable FWS to carry out its mission. With the exception of the Government SmartPay Charge Card (SmartPay Card), you cannot procure supplies and services. However, you should know where to find information on acquisition and assistance agreements. Assistance agreements include grants and cooperative agreements.

Supervisor's Role

Your role as a supervisor is to request or approve requests for items and/or services necessary to accomplish your unit's mission. The approval authority of supervisors is established by each organization. Contact your own supervisor if you do not know what your authority is.

References and Contacts

Simplified Acquisitions

(supplies and services up to \$100,000 or through GSA/other agencies)

References—Federal Acquisition Regulation (FAR) part 13; 303 FW—Environmentally Preferable Products

Office Contacts—Administrative Officer; servicing CGS office

ACQUISITION AND ASSISTANCE AGREEMENTS

References and Contacts (continued)

Contracts (generally over \$100,000)

References—Federal Acquisition Regulation (FAR) 48 CFR parts 1–52; 301 FW 1 through 5—Procurement Policies and Procedures; 303 FW—Environmentally Preferable Products; 304 FW—Special Procurement Instructions

Grants & Cooperative Agreements

References—43 CFR part 12 (DOI regulation); 301 FW 5.12—Assistance; Handbook of Assistance and Other Agreements (CGS)

Interagency Agreements

References—FAR subpart 17.5; Handbook of Assistance and Other Agreements (CGS)

Government Charge Card Program

When accepted by the vendor, the SmartPay Card is the preferred method for purchasing most supplies and services not exceeding \$2,500. The SmartPay Card program combines purchasing, travel, and Government vehicle (fleet) functions.

continued...

ACQUISITION AND ASSISTANCE AGREEMENTS

Each SmartPay Card is issued to an individual cardholder who is the only person authorized to use that particular card. Fleet cards are assigned to each Service-owned vehicle. As a supervisor, you should be aware of the cardholders in your office and your responsibilities. You may be a cardholder or the approving official for purchases made by a cardholder, depending on the procedures in your office. In addition to GSA and FWS rules, individual offices may establish transaction dollar limits and special restrictions for use of the SmartPay Card.

References—FWS SmartPay Charge Card Program Guide (under development);
301 FW 6—Purchase Cards

Procurement Do's and Don'ts

Do	Contact your Administrative Officer or the Division of Contracting and General Services whenever you need to procure supplies or services.
Don't	Obligate the Government to the expenditure of funds without authority! Obligating funds can be done as easily and inadvertently as asking a vendor to send the supplies, etc., while the purchase order is in process. Except for SmartPay cardholders with specific authority, only a duly warranted Contracting Officer has the authority to obligate the expenditure of Government funds.

OBTAINING FINANCIAL RESOURCES

Purpose

As a supervisor, you may need financial resources for office supplies, training, travel, lab equipment, etc. You may request money only for items and/or services necessary to accomplish your organization's mission.

Supervisor's Role

Your role as a supervisor is to request or approve requests for items and/or services necessary to accomplish your organization's mission. The approval authority of supervisors is established by each organization—contact your own supervisor if you do not know your authority. In order to request resources, you must know which forms must be completed and who has authority to approve them. You should understand the process of funds availability and approval that is required for your application.

References

250 through 259 FW—Budget; 260 through 269 FW—Finance

CONTACT

For more information on obtaining financial resources, contact your AO if you are at headquarters, or the Regional Budget Office if you are a field employee.

IMPREST FUNDS/THIRD PARTY DRAFTS/CREDIT CARDS

Purpose

The Service has been mandated by the Department to reduce imprest funds and increase Electronic Funds Transfer (EFT) payments for claims for miscellaneous expenses. The Service has implemented EFT payments for claims for miscellaneous expenses. For emergencies, FEDSELECT checks are available to make payments. The purchase card is available to organizations for purchases under \$2,500, reducing the need for imprest funds.

Supervisor's Role

As a supervisor, your role is to assure that the expenditures are valid and necessary. This includes monthly review of Charge Card Detail Reports to ensure that all transactions are made in the best interests of the Government. You should also know if the SmartPay Card is available for your organization and where to find information about the card.

References

Manual of Procedures and Instructions for Cashiers Operating Under 31 USC 3321; The Department of Treasury Financial Manual, chapter 4-3000; 262 FW—Imprest Funds

CONTACT

For more information on imprest funds/third party drafts, contact your own supervisor or your Administrative Officer. For more information on the SmartPay Card, contact your Regional Division of Contracting and General Services.

FTS2000/2001 FEDERAL CALLING CARDS

Purpose

While away from the office, it may be necessary to place long distance calls in order to conduct Government business. The best way to place these calls is by the use of an FTS2000/2001 Federal Calling Card (Fed Card). All Fed Cards may be used from anywhere within the United States. Fed Cards may also be provisioned to allow international calling.

Supervisor's Role

It is your responsibility to request these cards for authorized individuals and to ensure that Fed Cards are used only to conduct official Government business.

References

Department of the Interior, Department Manual: 377 DM 1.6B; Federal Property Management Regulation (FPMR) Subpart 101-35.1: Use of Government Telephone Systems; 212 FW 1—Standards of Conduct

CONTACT

For more information on ordering and use of Fed Cards, contact your Regional Information Resources Management office, or the Division of Information Resources Management, National Communications Center.

You should use a Fed Card when...

You are on Government business away from the office and need to place official long distance calls. Official business calls may include emergency calls and other calls the agency determines are necessary in the interest of the Government. Examples of such calls are:

1. An employee traveling on Government business is delayed by business or transportation problems and calls to notify family.
2. An employee traveling on Government business makes a brief call home, but not more than an average of one five-minute call per day.

There are no other means of accessing FTS2000/2001 from your office telephones.

continued...

FTS2000/2001 FEDERAL CALLING CARDS

You should not use a Fed Card when...

You are in your office, and FTS2000/2001 service is available.

You cannot use a Fed Card when...

You are placing personal long distance calls (certain personal calls are permitted while away from home on Government business).

IDENTIFICATION CARDS

Purpose

DOI Identification cards are issued to each employee, and are used to gain entry to DOI facilities where access may be controlled by a security guard or card reader system.

Supervisor's Role

Washington office employees receive the ID card request from their Servicing Personnel Office for issuance of the ID card by the Department security office. Regional employees are issued an ID card by their Servicing Personnel Office and NCTC employees by their designated official.

References

310 DM; 210 FW—Identification Cards

CONTACT

Your Servicing Personnel Office.

PROPERTY ACCOUNTABILITY

Purpose

The Federal Property and Administrative Services Act of 1949 and Public Law 84-863, passed in 1956, established regulations regarding property accounting, inventory controls, utilization, and disposal of Government property. These regulations govern the activities of the Property Accountable Officer and all employees in the acquisition, control, use and disposal of Government property.

Supervisor's Role

You are responsible for selecting a Property Custodial Officer (PCO) for your area of supervision (this is usually by Branch in the field, not supervisory group). The Property Accountable Officer remains accountable for Government property charged to a custodial area, with the assistance of the PCO. You must ensure that each FWS employee is aware of his/her responsibilities for the proper acceptance, use, protection, and surrender of any property assigned to his/her custody or control, and may be held financially liable for violations if they result in losses to the Government. It is also your responsibility to ensure that all acquisitions, transfers, and turn-ins of Government property are routed through the PCO. In addition, you are responsible for designating in writing a Receiving Officer(s) to sign for receipt of all office purchases. The Receiving Officer should not be the same person who does the purchasing.

References

310 FW 1 through 3—Personal Property

PROPERTY ACCOUNTABILITY

CONTACT

For more information on property accounting, inventory controls, utilization, and disposal, contact your Property Custodial Officer or CGS.

The Property Custodial Officer is responsible for . . . all accountable personal property in the custodial area as well as the effective management of the property. Some duties are:

- Ensuring the proper utilization, care, and safeguarding of property issued or assigned to the custodial area, including issuing property passes;
- Ensuring that all employees in the custodial area are informed of their responsibilities for use, maintenance, and protection of Government property;
- Maintaining a copy of the current inventory list, including monthly updates;
- Maintaining a record on each item of property leased or rented by the organization;
- Seeking the support of FWS staff any time FWS property may be at risk; and
- Ensuring that each employee in the custodial area completes and signs a DI-105, Receipt for Property, for accountable property entrusted to their care.

LOSS OF PROPERTY

Purpose

When Government property is lost or stolen, there may be an impact on an office or organization. Losses or theft of any property should be reported promptly to Security.

Supervisor's Role

Any employee who detects or suspects a loss or theft of Government property should immediately make an oral report to his/her supervisor. You should then make a preliminary investigation by trying to find out where the property was last and who saw it, and you should conduct a search of the immediate office area. If the item cannot be located, you should initiate a Report of Survey and forward it to your Property Custodial Officer.

References

310 FW 7.4—Procedures for Report of Survey

CONTACT

For more information on loss of property, contact your Property Custodial Officer or servicing CGS office.

MOTOR VEHICLES

Purpose

Motor vehicles, either Government-owned or commercially leased or rented, are to be used for official purposes only. Official purposes are those pertaining to FWS duties, and do not include transportation of any employee between his/her residence and place of employment, except as authorized for certain law enforcement personnel. Authorization must be obtained from the Department.

Supervisor's Role

You are responsible for approving the use of Government-owned or commercially leased or rented vehicles, and you should approve them only for official purposes. It is also your responsibility to verify that an employee's driver's license is not expired or revoked, and to restrict the use of vehicles when necessary. You are also responsible for scheduling maintenance and tracking usage, fuel costs, and maintenance costs.

References

Federal Personnel Manual, chapter 930-1; 41 CFR parts 101-6.4 and 101-39; 320 FW 3 through 9—Vehicle and Equipment Management

CONTACT

For more information on the use of motor vehicles, contact your servicing CGS office.

MOTOR VEHICLES

Misuse of a Government vehicle . . . is a serious offense. Any Government employee who willfully uses or authorizes the use of any Government-owned or commercially leased/rented vehicle for other than official purposes will be suspended from duty. This suspension is without compensation, for a minimum of 30 days, and may be longer. If circumstances warrant, the employee or authorizing official may be terminated from Federal service. An employee who operates a Government-owned or commercially leased/rented vehicle must have a valid driver's license issued by the State, District of Columbia, territory or possession of the United States.

If a motor vehicle accident occurs . . . you must take prompt action. Standard Form 91 must be completed by the vehicle operator and immediate supervisor, then forwarded to the Regional Safety Office. Standard Form 94 must be completed by any known witnesses. SF-91 and SF-94 must be maintained in an accident envelope (DI-135) stored within the vehicle's glove box. You are also responsible for entering the data into the Safety Management Information System (SMIS). See 320 FW 9.1–9.5 and Section 13 of the FWS Supervisor's Desk Reference for more information.

17. INFORMATION TECHNOLOGY

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ELECTRONIC MAIL

Purpose

Electronic mail (e-mail) is a tool provided to Service personnel for official use so they can perform their jobs more effectively. E-mail facilitates coordination among offices, and can increase efficiency by reducing phone tag and the need for meetings just to share information.

Much e-mail is informal and has only short-term value. However, some messages document critical steps in a decision. Those messages need to be preserved as records, following National Archives guidance. All messages transmitted using Service equipment are subject to review by supervisors and managers.

E-mail originating or forwarded from Service offices is identifiable to the general public as a message from the Service (typically via the **@fws.gov** portion of the address). E-mail is subject to release, and there should be no expectation of privacy when using the FWS-Messaging system.

Supervisor's Role

It is your responsibility to ensure that employees understand the implications of sending messages and use the FWS-Messaging system appropriately.

Supervisors should ensure that all employees are aware that their messages are not private, and may be perceived by the public as official expressions of the Service. Supervisors should be careful to ensure that messages from their office to non-Service addresses (especially listservers and newsgroups accessible on the Internet) are consistent with Service policies.

E-mail is subject to misuse for personal activities rather than official business, just like telephones and pick-up trucks. Ethics is a managerial issue, whatever technology may be involved. Supervisors must establish an atmosphere that supports only appropriate use of e-mail and other office automation tools. Supervisors should deal directly with situations involving possible misuse. In only a few cases (such as recovering deleted messages from a computer) should it be necessary to involve an Information Resources Management specialist to address inappropriate use.

ELECTRONIC MAIL

References

Information and Expression, manual chapters 115–119; 203 FW 1—Freedom of Information Act (<http://www.fws.gov/directives/203fw1.html>); 204 FW 1—Privacy Act (<http://www.fws.gov/directives/204fw1.html>)

CONTACT

For more information on appropriate use of e-mail, contact the ethics, FOIA, Privacy Act, or records management specialist for your office, or consult the Division of Information Resources Management (IRM), Branch of Management Services.

ELECTRONIC MAIL

You must follow the Service's e-mail guidelines:

- whenever using the office automation technology owned by the Service
- whenever you identify yourself as a representative of the Service, even if you are at home using personal equipment

You do not need to follow e-mail guidelines when:

- you are not using Federal resources or identifying yourself as a representative of the Service

AUTOMATED INFORMATION SYSTEM SECURITY

Purpose

The FWS Automated Information System Security program exists to prevent unauthorized access, disclosure, delay, alteration, destruction, or misuse of automated information and automated information resources. This includes the proper use of software, hardware, e-mail, communications and other automated information resources, as well as the proper identification and control of sensitive information and the timely reporting of actual or suspected security incidents when they occur.

Supervisor's Role

As a supervisor, you have the following responsibilities related to computer security.

1. Ensure that all employees and contractors are aware of, understand, and adhere to, the provisions of 270 FWS 7—Information Technology Security, and the Rules of Behavior for Automated Information Systems.
2. Ensure that only appropriately acquired and approved software runs on FWS automated systems and that employees and contractors comply with all aspects of the rules for use of such software as defined in the license agreement or other usage document.

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3. Ensure that employees and contractors receive periodic security awareness training to keep them abreast of current risks, threats, policies, and practices.
 4. Ensure that employees and contractors are aware of and follow the procedures for reporting security incidents.
 5. Take appropriate action when a security incident is reported.

References

270 FWS 7—Information Technology Security; OMB A-130, Appendix 3; The Rules of Behavior for Automated Information Systems, which are available at <http://sii.fws.gov/r9ncc/security/rules.htm>

CONTACT

Contact the Regional System Security Manager, the Bureau System Security Manager or the System Security Manager for the system in question. Contact information is posted on the Service Internal Internet (SII) at <http://sii.fws.gov/r9ncc/security/secur.htm>

AUTOMATED INFORMATION SYSTEM PROJECT MANAGEMENT

Purpose

Within the scope of the Service mission is the collection and distribution of natural resource information. Additionally, the activities associated with the management and operation of the various Service programs and organizations require the collection, manipulation and distribution of information. Information is necessary to fund and pay the personnel who do the work, catalog species, identify realty resources, and record research data, as well as delineate refuge boundaries, species habitat, and wetlands.

In order to collect, manage, and use vast quantities of information, it is necessary to develop automated information systems. The development of these kinds of systems requires special skills and, if not managed properly, can result in the loss of considerable money and time. Also, an improperly designed and managed system will often result in multiple collections of the same or similar information in a format that is not compatible with other systems using like data. This is a waste of resources and a burden on the staff. Project management is essential to ensure that the system meets the organization's information needs and is cost effective.

AUTOMATED INFORMATION SYSTEM PROJECT MANAGEMENT

Supervisor's Role

It is your responsibility to ensure that automated information system development is properly managed. Even the effort put forth to evaluate the need for such a system should be tracked and managed. This kind of activity, if not properly managed, can result in the loss of significant staff resources and not produce a usable product. You must ensure that your staff are familiar with approved practices and follow them. You must make sure they know how, when, and with whom to coordinate these activities.

References

270 FWS 3—Acquisition and Project Management; The Service Information Technology Architecture posted at <http://sii.fws.gov/r9data/sita/sita.htm>

CONTACT

For more information on Project Management and Project Planning, contact the Division of Information Resources Management, Branch of Data and Systems Services.

AUTOMATED INFORMATION SYSTEM PROJECT MANAGEMENT

You must follow the Project Management guidelines when one or more of the following apply:

- The system will be critical to the mission and function of the organization.
- The system will be used by more than one organizational entity. If the system crosses Regional, Program, or Divisional boundaries, then Project Management is required.
- The system will contain sensitive information, Privacy Act information, or other information we are required to protect by law or agreement.
- The system will interface with a national system, or a system from another Bureau or agency.

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It is not necessary to follow Project Management guidelines when:

- The system uses commercial off-the-shelf software that complies with the Service Information Technology Architecture.
- The system will be used entirely within a single Branch or Division.
- The system will not interface with any other existing system outside the Branch or Division.
- The system will not be critical to the functions and mission of the organization.

The Process

1. Before you initiate any system development effort, consult with your counterparts in the other Regions, with other branches/divisions charged with similar activities, and check the list of Project Charters and the Catalog of Automated Information Systems hosted on the Service Internal Internet. Make sure that a similar function is not in process or already in operation.

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AUTOMATED INFORMATION SYSTEM PROJECT MANAGEMENT

2. Draft a basic Project Charter authorizing further research, requirements definition, and the development of recommendations. Do not authorize the “building of a system” until this information has been collected and reviewed.
3. Review the materials presented. Decide on which course of action to take, if any. By addendum, modify the charter to clearly state the requirements and lay out the course of action to be taken. Include a description of the deliverables and milestones for review of progress and testing of functionality.
4. Forward a copy of the Project Charter to the Division of Information Resources Management for review and comment. The Division of IRM will verify that your effort is consistent with the Service Information Technology Architecture and provide comments and recommendations pertinent to your effort.

Note: The Division of Information Resources Management, Branch of Data and Systems Services will assist in this process if requested. Before committing to a course of action, it would be prudent to contact them for advice. Likewise, this branch will also contract to build systems, covering all activities from requirement analysis to implementation and training.

WEB PUBLISHING/SERVICE INTERNAL INTERNET (SII)

Purpose

Service offices can communicate specific messages to target audiences—effectively, quickly, and without great expense—via the Internet and via the Servicewide intranet known as the Service Internal Internet (SII).

A larger percentage of the general public and Service employees have become comfortable with using Internet technology in the last years of the 20th Century. One key advantage to publishing material on the Web is that the Service’s messages are not diluted or repackaged by reporters, newscasters, etc. There is a much greater potential for “good science” and specific Service recommendations to be transmitted correctly, unfiltered, via this technology. It is the first cost-effective tool that will allow the exact words and images issued by the Service to be seen intact by most readers.

Supervisor’s Role

It is your responsibility to ensure that the material published on the Internet or SII reflects Service policy and is consistent with Service guidance (including design standards for consistent appearance). Official Web pages are equivalent to a news release, slide show at a Rotary Club, or comments to refuge visitors while dressed in a uniform: they are official statements of the Service.

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It is also your responsibility to take advantage of the new technology to accomplish Service objectives. Assertive leadership is necessary in order to implement something new, like Web publishing. In addition, careful attention to outreach objectives is necessary for “filling the vacuum” and countering misinformation that might be published by others on the Internet.

References

Web Publishing (<http://sii.fws.gov/webpublish/>)

CONTACT

For information on the SII, contact the Division of Information Resources Management (IRM). For more information on Web publishing, contact the Office of Public Affairs.

WEB PUBLISHING/SERVICE INTERNAL INTERNET (SII)

You must follow the Service's Web publishing guidelines:

- whenever you use Service resources to publish a Web page (Note: the “look and feel” design guidance is more flexible when your pages represent an interagency partnership rather than just the Service, but the FOIA and record management requirements still apply.)

18. OTHER

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MEDICAL DETERMINATIONS

Purpose

At times you may be required to make a decision regarding an employee's request for a benefit or special consideration based on medical reasons. Also, you may have a legitimate need to obtain medical information relevant to an employee's ability to perform his/her duties efficiently and safely. In either case, you need to obtain medical information from the employee in order to make a reasonable and informed decision.

Supervisor's Role

You should be aware that at times you will have a legitimate need to obtain medical information from an employee, either by request or by requiring the employee to provide medical documentation. You should always seek advice from your Servicing Personnel Specialist to verify the legitimacy of your need, determine if you can request or acquire the information, assist you with the required documentation, and assist you in the evaluation and decision-making process.

References

5 CFR part 339

CONTACT

For more information on medical determinations related to employability, contact your Servicing Personnel Office.

MEDICAL DETERMINATIONS

When an employee makes a request . . . for a benefit or special consideration, you should verify that the request is based on medical reasons and is necessary. You may need to ask the employee to undergo a medical examination. Examples of benefits or special consideration that employees may request include but are not limited to:

- Extended leave (in excess of 5 work days, or less if the employee is on leave restriction)
- Advance sick leave
- Exemption from overtime
- Exemption from travel
- Exemption from physical exertion
- Reassignment

There are a few limited situations in which you can order an employee to undergo a medical examination. Examples include Workers' Compensation claims and positions which have physical requirements or medical standards. When these situations arise, you should always consult your Servicing Personnel Specialist prior to taking any action.

AIDS IN THE WORKPLACE

Purpose

Acquired Immune Deficiency Syndrome (AIDS) is an infectious, contagious, and, thus far, incurable disease caused by the Human Immunodeficiency Virus (HIV). Though the AIDS virus brings fear to most people, there is no medical evidence that it can be contracted through casual contact in the workplace. The AIDS in the Workplace Policy ensures equal treatment and benefits to employees infected with AIDS/HIV.

Supervisor's Role

You should be familiar with the AIDS in the Workplace Policy and promote AIDS/HIV awareness and education among employees. If you supervise an employee with AIDS or HIV, you must responsibly and intelligently handle all performance, safety, conduct, and discrimination situations relating to their illness.

References

370 DM 792, 8; Surgeon General's Report on AIDS

CONTACT

For more information on the AIDS in the Workplace Policy or how to handle work situations that arise from an employee's AIDS/HIV condition, contact your Servicing Personnel Office.

AIDS IN THE WORKPLACE

Employees with AIDS or HIV . . . can continue to work as long as they are able to maintain acceptable performance and do not pose a safety or health threat to themselves or others. If any performance or safety problems arise, you should treat the situation as you would for employees who suffer from other serious illnesses. Some things you can do are:

- Make decisions with respect to entitlement to reasonable accommodation and implement such decisions in accordance with the Rehabilitation Act of 1973 (29 USC 794). The reasonable accommodations may include changes in work assignments such as job restructuring, reassignments, liberal leave or flexible work schedules to the extent permitted under the Rehabilitation Act.
- Address situations, through counseling and other means, where fellow employees express reluctance or threaten to refuse to work with HIV/AIDS employees.
- Grant leave in the same manner as you would for other employees including any leave entitlements under the Family and Medical Leave Act (Public Law 103-3) and the Federal Employees Family Friendly Leave Act (Public Law 103-388).
- Obtain medical information on a need-to-know basis when necessary for making and implementing personnel management decisions.

WHISTLEBLOWER PROTECTION

Purpose

All personnel actions that you take must be initiated and carried out without prejudice, including against whistleblowers. The Whistleblower Protection Act (WPA) protects current, former, and prospective Federal employees from unfair personnel actions that may result from their whistleblowing activities.

Supervisor's Role

You should be familiar with the provisions of the Whistleblower Protection Act, and provide all employees the freedom to disclose information protected by the Act, i.e., information they reasonably believe is evidence of a violation of any law, rule, or regulation; gross mismanagement; a gross waste of funds; an abuse of authority; or a substantial and specific danger to public health or safety. You must ensure that all personnel actions taken under your control are initiated and effected without prejudice to whistleblowing activities. If an employee alleges that a personnel action was taken in reprisal for whistleblowing activities, management must demonstrate with clear and convincing evidence that the employee's whistleblowing activities were not a basis or factor in the decision to take the action.

References

Public Law 101-12; 5 CFR part 1209; U. S. Merit Systems Protection Board Pamphlet "Questions & Answers About Whistleblower Appeals"

WHISTLEBLOWER PROTECTION

CONTACT

For more information about the Whistleblower Protection Act, contact your Servicing Personnel Office.

If an employee is a whistleblower . . . you must treat him/her fairly and without prejudice to his/her whistleblowing activities. You should ensure that all personnel actions that you take are fair, just, and based on merit principles. Examples of these personnel actions include:

- New appointments
- Promotions
- Disciplinary, corrective, and adverse actions
- Details
- Reassignments or transfers
- Reinstatements or reemployment
- Performance evaluations
- Pay decisions
- Benefits administration
- Awards
- Training and development
- Other significant changes in duties

PRIVACY ACT

Purpose

The Privacy Act provides safeguards for all individuals, including Federal employees, against unwarranted invasions of privacy. It requires all Federal agencies to maintain certain standards for collecting, maintaining, using, and/or disseminating information of a personal nature about any individual. The Privacy Act also provides individuals with access and amendment privileges to information about them.

Note: The Privacy Act applies to records which you store and retrieve by personal identifier (such as Social Security number, employee number, permit number).

Supervisor's Role

As a supervisor, you should understand the provisions of the Privacy Act. You must keep no secret files on any individual employees, including Federal employees. You must inform those on whom the information is collected regarding what records you have on them and how the records will be used. FWS does this through the publication of a Federal Register notice. For a current listing of such notices, see References below or call the Contact listed below. You must assure that personal information is used only for its intended purposes; allow individuals to see records kept on them; and provide them the opportunity to correct inaccuracies in their records.

Note: A few Privacy Act systems are exempt from the above requirements (such as records compiled for law enforcement purposes). Check with the Privacy Act Officer if you are uncertain.

References

5 USC 552a; 204 FW 1—Policy and Definitions; <http://www.fws.gov/directives/direct.html>; OPM/GOVT-1 “General Personnel Records”; OPM GOVT-2 “Employee Performance File System Records”

CONTACT

For more information on the Privacy Act, contact the Privacy Act Officer.

The Privacy Act . . . was enacted to protect all individuals, including Federal employees, from an invasion of privacy through the misuse of records by Federal agencies. In order to achieve this, you should:

- Understand the requirements of the Privacy Act and how they relate to your job.
- Understand the kinds of information that are protected and not protected by the Privacy Act.
- Take precautions to safeguard all personal information in your possession, e.g., keep files in a locked cabinet, restrict access to only authorized individuals, and password-protect personal information that is in electronic format.
- Respond promptly to requests for information. Refer any requests to the Privacy Act Officer and the systems manager who administers the Privacy Act system.
- Be sure that personal information is not disclosed unless the disclosure is authorized by law or authorized in writing by the subject of the information.

FREEDOM OF INFORMATION ACT

Purpose

The Freedom of Information Act (FOIA) established standards for openness in Government. It attempts to balance the public's right to know and the ability of the Government to function. FOIA requires FWS to make available to the public all records, paper or other format, in its possession, with certain exceptions.

Supervisor's Role

You should be aware of the provisions of FOIA and understand that all FWS records are subject to FOIA requests, and most are releasable. Though you may not directly handle a FOIA request yourself, you should cooperate with a FOIA Officer if you are asked to provide records or other information. Also, you should ensure that all of your employees are familiar with the principles of FOIA.

References

5 USC 552; 43 CFR part 2; 203 FW 1—Policy and Responsibilities; <http://www.fws.gov/directives/direct.html>

CONTACT

For more information on the Freedom of Information Act, contact your Regional FOIA Officer or the Service FOIA Officer. You may also visit the FOIA Web page which is accessible through the Service's Web page.

Information available under the FOIA . . . can take many forms. The following is a list of records that are available to the public:

- Staff manuals and instructions
- Biological data and statistics
- Personnel data (e.g., name, title, grade, position, salary, work and Internet addresses, work phone/fax numbers, and various statistics)
- Refuge plans, recovery plans, biological opinions, and coordination act letters
- Administrative records of rules, NEPA decisions, and permitting actions
- Government credit card holders

FREEDOM OF INFORMATION ACT

Though there are nine exemptions . . . to the information that is available under FOIA, the four exemptions which the FWS uses most are listed below. FOIA is a law of *disclosure*. If someone requests this information, it may be denied only if sound grounds exist to invoke the exemption.

- Exemption 4 may be used to protect trade secrets and commercial or financial information which is privileged or confidential
- Exemption 5 may be used to protect pre-decisional and deliberative inter-agency or intra-agency information
- Exemption 6 may be used to protect personnel and medical files and similar files which, if disclosed, would constitute a clearly unwarranted invasion of personal privacy
- Exemption 7 may be used to protect records compiled for law enforcement purposes

If you are uncertain as to whether to use an exemption to protect material, please contact your Regional FOIA Officer or the Service FOIA Officer.

FREEDOM OF INFORMATION ACT

All requests for records must . . . be reported to the Regional or Washington Office FOIA representatives. Only individuals instructed and authorized to handle FOIA requests should respond to them.

However, all employees should have a basic understanding of FOIA, since any employee may receive a verbal, written, or electronic request for information. Though you may release information without receiving a FOIA request for it, you should be careful to ensure that your release of information does not contradict what you might withhold under a formal FOIA request.

Correspondingly, if you have a public request to come in and inspect the actual records of one of your offices, you should consult your FOIA representative.

GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

Purpose

GPRA requires agencies to set strategic and annual goals, measure performance, and report on the degree to which goals are met. Federal agencies must now tell American taxpayers exactly what they are getting for their money each year. Program managers will be expected to clearly identify what they plan to accomplish, how they accomplish it, and what resources they need to achieve the intended results.

Requirements: *GPRA* requires all Federal agencies to prepare and submit:

- Strategic Plans by September 30, 1997. The Strategic Plan must include mission statement, long-term (five years) strategic goals, strategies to achieve the goals, relationship between the long-term strategic goals and the annual performance goals, external factors that could affect performance, and program evaluations. The Strategic Plan is updated every three years.
- Annual Performance Plans to Congress. The Annual Performance Plan should include annual performance goals that contain a targeted level of performance to be achieved for the year. The annual goals must be expressed in an objective, quantifiable, and measurable form. The Plan must also contain performance indicators and measures, description of the processes, skills, and financial and human resources required to meet the goals, and verification and validation of performance measures.

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GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

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- Annual Performance Reports to Congress. The Annual Performance Report addresses the performance measures in the Annual Performance Plan. The first report is due to Congress by March 31, 2000.

Supervisor's Role

All supervisors should learn about the principles and requirements of *GPRA* for strategic and annual performance plans and annual performance reports. Supervisors may be asked to provide input for setting annual performance measure targets, and for reporting actual annual performance measures.

References

Public Law 103-62: “*Government Performance and Results Act of 1993*”; GAO Report, “The Effective Guide for Effectively Implementing the *Government Performance and Results Act*,” June 1996, GAO/GGD-96-118; The Government Executive: Time to Get Cooking on *GPRA*” by Anne Laurent: June 1996

CONTACT

For more information on *GPRA*, contact the Office of Planning and Evaluation.

ECONOMIC ANALYSIS

Purpose

Economic analysis is required to support natural resource damage assessments, reviews of FERC hydropower economic studies, and endangered species critical habitat designation. In addition, economic studies related to refuge comprehensive plans, land acquisition, the economic section of environmental impact statements, fish hatchery benefits and other economic assessments may be needed.

Supervisor's Role

It is the responsibility of the field supervisor, working with the Project Leader, to outline all the necessary steps and assure that all administrative and program requirements are met to achieve program objectives. Numerous statutes and Executive Orders require an economic analysis. When it is determined that assistance is required with an economic analysis, the field supervisor or Project Leader should notify the Division of Economics, who will either perform the required analysis themselves or make available contract support.

ECONOMIC ANALYSIS

References

The Endangered Species Act, Clean Water Act, CERCLA, Oil Pollution Act, National Environmental Policy Act, Federal Power Act, the Small Business Regulatory Fairness Act, and Executive Order 12866 all have requirements for economic analyses. In addition, the Department has determined that all rules published in the Federal Register require an economic analysis, except endangered species listings.

CONTACT

For more information on economic analyses, contact the Division of Economics.